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# Catalog of Federal Domestic Assistance

Executive Office of the President
Office of Management and Budget

Pr Ex 2.20:

## CATALOG OF FEDERAL DOMESTIC ASSISTANCE

| | | |
|---|---|---|
| First Edition | December | 1965 |
| Second Edition | June | 1967 |
| Third Edition | January | 1969 |
| Fourth Edition | April | 1970 |
| | October | 1970 |
| Fifth Edition | April | 1971 |
| | October | 1971 |
| Sixth Edition | May | 1972 |
| | November | 1972 |
| Seventh Edition | June | 1973 |
| | November | 1973 |
| Eighth Edition | June | 1974 |
| | November | 1974 |
| Ninth Edition | June | 1975 |
| | November | 1975 |
| Tenth Edition | May | 1976 |
| | November | 1976 |
| Eleventh Edition | May | 1977 |
| | November | 1977 |
| Twelfth Edition | May | 1978 |
| | November | 1978 |
| Thirteenth Edition | May | 1979 |
| | September | 1979 |
| | December | 1979 |
| Fourteenth Edition | May | 1980 |
| | September | 1980 |
| | December | 1980 |
| Fifteenth Edition | June | 1981 |
| | December | 1981 |
| Sixteenth Edition | June | 1982 |

Library of Congress No. 73-600118

SUGGESTED IDENTIFICATION:
1982 Catalog of Federal Domestic Assistance
Superintendent of Documents
Government Printing Office
Washington, D.C. 20402

The 1982 edition is sold on a subscription basis by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. It consists of the basic manual and change as issued for one year. The order for the Catalog must be accompanied by a check or money order made payable to the Superintendent of Documents. Although the Catalog is published by the Office of Management and Budget, subscriptions for the catalog are only available through the Government Printing Office (see Subscription Form in back of Catalog).

Service adjustments: For change of address, non-receipt, or discrepancies, send full details with latest mailing label to the address in the upper left corner of label.

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# Catalog Highlights

As a potential applicant, contact the agency information sources in the program descriptions for the latest information concerning the programs.

The 1982 Catalog contains 988 programs administered by 52 Federal agencies.

The objectives of some of the new programs are given below:

| | |
|---|---|
| **AGRICULTURAL MARKETING** | Programs set up for the: development and application of standards of quality and condition for agricultural commodities; participation and assistance in the development of international agricultural standards; suppression of unfair and fraudulent practices in the marketing of perishable agricultural commodities in interstate and foreign commerce; inspection of warehouses and to make sure of the quality of products on hand; increase of overall food marketing efficiency (10.162, 10.163, 10.164, and 10.165). |
| **ALCOHOL/DRUG ABUSE** | This block grant program was set up to provide financial assistance to States and Territories to support projects for the development of more effective prevention, treatment, and rehabilitation programs and activities to deal with alcohol and drug abuse; and to support community mental health centers for the provision of services for chronically mentally ill individuals, and for coordination of mental health and health care services provided within health care centers (13.992). |
| **COMMUNITY DEVELOPMENT** | This block grant program was set up to provide assistance to Indian Tribes and Territories in the development of viable Indian communities. Also, to help States, units of general local government and areawide planning organizations to plan, develop and administer local community development block grant and urban development action grant programs (14.229). |
| **COMMUNITY SERVICES** | This block grant was set up to provide, among other things, activities designed to assist low-income participants including the elderly poor to secure and retain meaningful employment; attain an adequate education; make better use of available income; obtain and maintain adequate housing and a suitable living environment; obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance (13.665). |
| **EDUCATION** | This block grant program was set up to assist State and local educational agencies by awarding them funds for basic skills development, educational improvement and support, and special projects. This program consolidates 29 elementary and secondary education programs into a single authorization (84.151). |
| **EMERGENCY MANAGEMENT** | Program set up to enhance and develop an emergency broadcast capability to provide emergency information and direction to the public by national, State and local officials over commercial broadcast stations (83.213). |

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| **FAMILY LIFE** | Programs set up to encourage and support research projects and demonstration projects concerning the societal causes and consequences of adolescent premarital sexual relations; promote adoption as an alternative for adolescent parents; establish innovative, comprehensive, and integrated approaches to the delivery of care services for pregnant adolescents with primary emphasis on unmarried adolescents who are 17 years of age and under and for adolescent parents (13.111 and 13.995). |
| **LOW INCOME HOME ENERGY** | This block grant program was set up to make funds available to assist eligible households meet the costs of home energy. Up to 10 per cent of these funds are for State planning and administering the activities related to this program. Up to 15 per cent may be used (13.818). |
| **MATERNAL AND CHILD HEALTH** | This block grant program was set up to enable States to maintain and strengthen their leadership in planning, promoting, coordinating, and evaluating health care for mothers and children and in providing health services for mothers and children who do not have access to adequate health care (13.994, see also 13.110). |
| **PLANNING GRANTS** | Program set up to support planning and other administrative activities which will enable the State to administer the allotments provided under the Primary Care Block Grants (13.109). |
| **PREVENTIVE HEALTH** | This block grant program was set up to provide States with supplemental resources for comprehensive preventive health services including emergency medical services, health incentive activities, hypertension programs, home health services, and services for rape-victims (13.991). |
| **SOCIAL SERVICES** | This block grant program was set up to enable each State to furnish a variety of social services best suited to the needs of the individuals residing in the State and to enable eligible individuals, among other things, to (1) prevent, reduce or eliminate dependency; (2) prevent neglect, abuse, or exploitation of children and adults; (3) prevent or reduce inappropriate institutional care (13.667). |

# INTRODUCTION

Pursuant to the Federal Program Information Act, Public Law 95-220, the Office of Management and Budget (OMB) disseminates information on Federal domestic assistance programs through the Federal Assistance Programs Retrieval System (FAPRS) and the Catalog of Federal Domestic Assistance. The Office of Management and Budget maintains a Federal assistance information data base from which program information is obtained.

The Catalog of Federal Domestic Assistance is a Government-wide compendium of Federal programs, projects, services, and activities which provide assistance or benefits to the American public. It contains financial and nonfinancial assistance programs administered by departments and establishments of the Federal Government.

As the basic reference source of Federal programs, the primary purpose of the Catalog is to assist users in identifying programs which meet specific objectives of the potential applicant, and to obtain general information on Federal assistance programs. In addition, the intent of the Catalog is to improve coordination and communication between the Federal Government and State and local governments.

The Catalog provides the user with access to programs administered by Federal departments and agencies in a single publication. Program information is cross referenced by functional classification, subject, applicant, deadline(s) for program application submission, authorizing legislation, and Federal circular requirements. Other sections of the Catalog provide users with information on programs added and deleted since the last edition of the Catalog, a crosswalk of program number and title changes, regional and local offices, the administrative requirements of Federal circulars, definitions of the types of assistance under which programs are administered, proposal writing, grant application procedures, and additional sources of information on Federal programs and services. Also included is a section on the legislative process and executive action regarding Federal programs, a chart on how to use the Catalog to locate programs of interest, and a chart describing the A-95 clearinghouse Project Notification and Review System (PNRS) along with the prescribed application procedures under which programs must be reviewed.

Programs selected for inclusion in the Federal assistance data base are defined as any function of a Federal agency that provides assistance or benefits for a State or States, territorial possession, county, city, other political subdivision, group, or instrumentality thereof; any domestic profit or nonprofit corporation, institution, or individual, other than an agency of the Federal Government. A 'Federal domestic assistance program' may in practice be called a program, an activity, a service, a project, a process, or some other name, regardless of whether it is identified as a separate program by statute or regulation. It will be identified in terms of its legal authority, administering office, funding, purpose, benefits, and beneficiaries. 'Assistance or 'benefits' refers to the transfer of money, property, services, or anything of value, the principal purpose of which is to accomplish a public purpose of support or stimulation authorized by Federal statute. Assistance includes, but is not limited to grants, loans, loan guarantees, scholarships, mortgage loans, insurance, and other types of financial assistance, including cooperative agreements; property, technical assistance, counseling, statistical, and other expert information; and service activities of regulatory agencies. It does not include provision of conventional public information services.

The Catalog is published annually, using the most current data available on the status of programs at the time the Catalog or the update to the Catalog are compiled. The basic edition of the Catalog, which is usually published in May, reflects completed congressional action on program legislation. The update, normally published in December, reflects completed congressional action on the President's budget proposals and on substantive legislation as of the date of compilation, and include information on Federal programs that was not available at the time the latest edition of the Catalog was compiled. The update must be retained and used along with the basic edition in order to obtain the most current information on program revisions.

The Office of Management and Budget distributes free copies of the Catalog to National, State and local offices. At the national level copies are provided to: Members of Congress, congressional staff, and Federal offices of the U.S. Government. At the State level copies of the Catalog are provided to: Governors, State Coordinators of Federal-State Relations, Directors of State Departments of Administration and Budget Offices, Directors of State Departments of Community Affairs, Directors of State Planning Agencies, State clearinghouses, State Central Information Reception Agencies, Directors of State Agricultural Extension Services, State Municipal Leagues, State Association of Counties, Chief State School Officers, and State Employment Security Agencies. At the local level copies are provided to: Mayors, County Chairmen, Chairmen of Boards of Commissioners and city planners. Copies are also provided to the Federal Information Centers, Federal Regional Councils, Federal Executive Boards, and appropriate field and area offices of most Federal agencies. The Catalog is also provided to other agencies of State and local govenments down to and including those with a population size of 250. As part of the Administration's efforts to eliminate unnecessary budget costs, OMB has reduced the number of Catalogs being printed and distributed free of charge. Therefore, all of the offices listed above may not have copies of the 1982 Catalog. Private individuals who wish to receive a copy of the Catalog must contact the Government Printing Office, Superintendent of Documents, Washington, DC 20402. (See back cover of Catalog for subscription form.)

Program information from the Catalog is also available on machine readable magnetic tape and microfiche. These sources contain all textual material published in the program description section of the Catalog. The magnetic tape contains a characteristics record of coded program information extracted from the textual material. The characteristics record format allows the user to retrieve program numbers and titles, along with the program function, types of assistance, applicants, beneficiaries, circular requirements, obligations, matching requirements, geographic data, and authorizing legislation. From the text record, users may retrieve the complete text or specific sections of the program text. The accompanying documentation describes the procedures for retrieving program information. The tape or microfiche may be purchased from the Department of Commerce, National Technical Information Service, 5285 Port Royal Road, Springfield, Virginia 22151. The identifying accession number must be obtained from OMB.

The Federal Assistance Programs Retrieval System (FAPRS) is a computerized question-answer system designed to provide rapid access to Federal domestic assistance program information. The system provides information on Federal programs which meet the developmental needs of the applicant and for which the applicant meets basic eligibility criteria. Program information provided by FAPRS is determined from input supplied by the requestor. Input includes the name of the State, county, city, town, or federally designated Indian tribe for which program information is requested; the population of the city or town; the type of applicant (e.g., State or local governments, federally designated Indian tribal governments, nonprofit organizations, small businesses, individuals), the type of assistance under which programs are administered (e.g., grants, loans); and the specific functional categories and subcategories of interest. Based upon the input supplied, the output consists of 1) a list of program numbers and titles, 2) the full text of selected programs, or 3) specific sections of the program text. FAPRS also offers the user the opportunity to comment on the system and the information provided.

As originally developed, FAPRS was designed to aid small, rural, isolated communities unfamiliar with Federal assistance programs or unable to locate Federal aid programs that had the greatest funding potential. FAPRS may now be accessed by both rural and urban communities. An enhanced version of FAPRS has been developed based on an analysis of FAPRS users and an OMB study of the overall requirements for Federal information systems. The following features have been incorporated into the new FAPRS system:

1. Expansion of functional categories and subcategories. As listed in the Functional Index of the Catalog, the enhanced version of FAPRS uses 20 functional categories and 176 subcategories to specify areas of interest.

2. Expansion of eligibility applicants to include 12 government related and 10 non-government related applicant types.

3. Specification of the type(s) of assistance desired as one of the search criteria. At present, programs are administered through 15 types of assistance.

4. Display of definitions for functional subcategories, applicant types, and types of assistance.

5. Selection of specific sections of the program text to be displayed.

6. Formatted display of Federal circular coordination requirements for a selected list of programs.

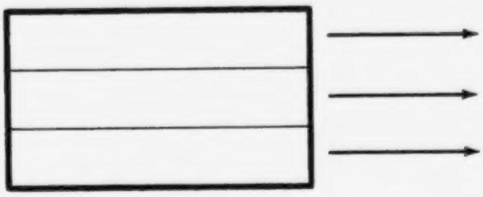
States have designated access points where FAPRS searches may be requested. In addition, bulletins on FAPRS are available from the system to inform users of the addition or deletion of programs, changes to program numbers from one update cycle to the next, and enhancements or changes to the system. For further information on FAPRS, the location of the nearest State access point, or a list of the timesharing companies from which interested persons may arrange for direct access to the system, write to the Office of Management and Budget, Budget Review Division, Federal Program Information Branch, Washington, D.C. 20503.

# How To Use the Catalog

The application procedures information in the following section is general in nature and may vary depending upon the type of applicant, type of assistance offered under a program, or the nature of the particular program or project. Potential applicants are urged to carefully review the requirements indicated in each program, since evaluation of applications are based upon the degree to which program requirements have been met.

The following page contains a chart which suggests how to use the Catalog. By following the steps outlined in each block, the user will have extracted all of the Catalog data pertaining to a Federal assistance program. For matters too complex, or those which frequently change, potential applicants are encouraged to obtain this information from the Federal agency contact listed in the Information Contacts section of the program descriptions. The Federal agency contact will also supply detailed information and specific guidance on applying for Federal assistance.

Each block in the chart is divided into three sections:



Describes the type of action to take.

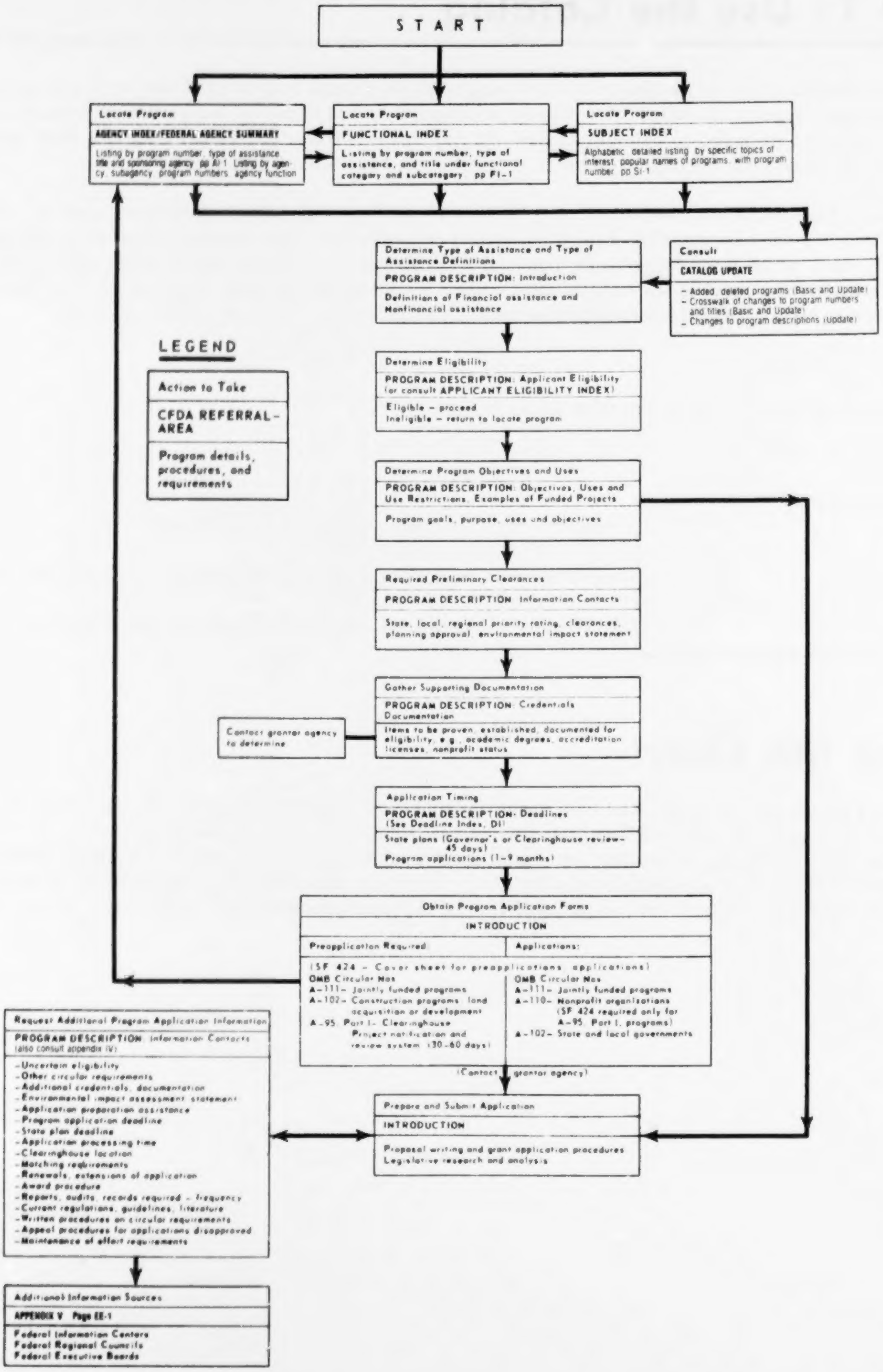
Identifies the appropriate Catalog section for reference.

Details the important aspects to consider and note.

# Using the Chart

Users should start at the top of the chart with the blocks indicating LOCATE PROGRAM. Use one or more of these blocks depending upon the type of information you have regarding your Federal assistance interests. Move down the chart collecting and noting information as you proceed until you reach the block indicating APPLICATION SUBMISSION. Once you have identified the Federal program you believe fits your objective or proposal, you may process your application. Information on proposal writing and grant procedures are outlined in the Introduction.

# Applying for Federal Assistance Utilizing The Catalog of Federal Domestic Assistance (CFDA)


START
Locate Program
AGENCY INDEX/FEDERAL AGENCY SUMMARY
Listing by program number, type of assistance title and sponsoring agency pp AI-1. Listing by agency, subagency, program numbers, agency function
Locate Program
FUNCTIONAL INDEX
Listing by program number, type of assistance, and title under functional category and subcategory pp FI-1
Locate Program
SUBJECT INDEX
Alphabetic detailed listing by specific topics of interest, popular names of programs, with program number pp SI-1
Determine Type of Assistance and Type of Assistance Definitions
PROGRAM DESCRIPTION: Introduction
Definitions of Financial assistance and Nonfinancial assistance
Consult
CATALOG UPDATE
– Added, deleted programs (Basic and Update)
– Crosswalk of changes to program numbers and titles (Basic and Update)
– Changes to program descriptions (Update)
LEGEND
Action to Take
CFDA REFERRAL-AREA
Program details, procedures, and requirements
Determine Eligibility
PROGRAM DESCRIPTION: Applicant Eligibility (or consult APPLICANT ELIGIBILITY INDEX)
Eligible – proceed
Ineligible – return to locate program
Determine Program Objectives and Uses
PROGRAM DESCRIPTION: Objectives, Uses and Use Restrictions, Examples of Funded Projects
Program goals, purpose, uses and objectives
Required Preliminary Clearances
PROGRAM DESCRIPTION: Information Contacts
State, local, regional priority rating, clearances, planning approval, environmental impact statement
Gather Supporting Documentation
PROGRAM DESCRIPTION: Credentials Documentation
Items to be proven, established, documented for eligibility, e.g., academic degrees, accreditation licenses, nonprofit status
Contact grantor agency to determine
Application Timing
PROGRAM DESCRIPTION: Deadlines (See Deadline Index, DI)
State plans (Governor's or Clearinghouse review– 45 days)
Program applications (1–9 months)
Obtain Program Application Forms
INTRODUCTION
Preapplication Required
Applications:
(SF 424 – Cover sheet for preapplications, applications)
OMB Circular Nos
A–111– Jointly funded programs
A–102– Construction programs, land acquisition or development
A–95, Part I– Clearinghouse Project notification and review system (30–60 days)
OMB Circular Nos
A–111– Jointly funded programs
A–110– Nonprofit organizations (SF 424 required only for A–95, Part I, programs)
A–102– State and local governments
(Contact grantor agency)
Request Additional Program Application Information
PROGRAM DESCRIPTION: Information Contacts (also consult appendix IV)
– Uncertain eligibility
– Other circular requirements
– Additional credentials, documentation
– Environmental impact assessment statement
– Application preparation assistance
– Program application deadline
– State plan deadline
– Application processing time
– Clearinghouse location
– Matching requirements
– Renewals, extensions of application
– Award procedure
– Reports, audits, records required – frequency
– Current regulations, guidelines, literature
– Written procedures on circular requirements
– Appeal procedures for applications disapproved
– Maintenance of effort requirements
Prepare and Submit Application
INTRODUCTION
Proposal writing and grant application procedures
Legislative research and analysis
Additional Information Sources
APPENDIX V Page EE-1
Federal Information Centers
Federal Regional Councils
Federal Executive Boards

## Types of Assistance

Currently, programs in the Catalog are being classified by OMB into 15 types of assistance. (Cooperative Agreements as a type of assistance is used for programs administered under that mechanism. However, the definition is still being formulated and does not appear in this section.) Benefits and services of the programs are provided through seven financial types of assistance and eight nonfinancial types of assistance. The following list defines the types of assistance which are available through the programs. Code letters below (A through O) which identify the type of assistance) will follow program titles in the Agency Index, Applicant Eligibility Index, the Functional Index, Deadlines Index, and in the list of added programs.

A Formula Grants — Allocations of money to States or their subdivision in accordance with a distribution formula prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specific project.

B Project Grants — The funding, for fixed or known periods, of specific projects or the delivery of specific services or products without liability for damages for failure to perform. Project grants include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, construction grants, and unsolicited contractual agreements.

C Direct Payments for Specified Use — Financial assistance from the Federal Government provided directly to individuals, private firms, and other private institutions to encourage or subsidize a particular activity by conditioning the receipt of the assistance on a particular performance by the recipient. This does not include solicited contracts for the procurement of goods and services for the Federal Government.

D Direct Payments with Unrestricted Use — Financial assistance from the Federal Government provided directly to beneficiaries who satisfy Federal eligibility requirements with no restrictions being imposed on the recipient as to how the money is spent. Included are payments under retirement, pension, and compensation programs.

E Direct Loans — Financial assistance provided through the lending of Federal monies for a specific period of time, with a reasonable expectation of repayment. Such loans may or may not require the payment of interest.

F Guaranteed/Insured Loans — Programs in which the Federal Government makes an arrangement to indemnify a lender against part or all of any defaults by those responsible for repayment of loans.

G Insurance — Financial assistance provided to assure reimbursement for losses sustained under specified conditions. Coverage may be provided directly by the Federal Government or through private carriers and may or may not involve the payment of premiums.

H Sale, Exchange, or Donation of Property and Goods — Programs which provide for the sale, exchange, or donation of Federal real property, personal property, commodities, and other goods including land, buildings, equipment, food and drugs. This does not include the loan of, use of, or access to Federal facilities or property.

I Use of Property, Facilities, and Equipment — Programs which provide for the loan of, use of, or access to Federal facilities or property wherein the federally owned facilities or property do not remain in the possession of the recipient of the assistance.

J Provision of Specialized Services — Programs which provide Federal personnel to directly perform certain tasks for the benefit of communities or individuals. These services may be performed in conjunction with nonfederal personnel, but they involve more than consultation, advice, or counseling.

K Advisory Services and Counseling — Programs which provide Federal specialists to consult, advise, or counsel communities or individuals including conferences, workshops, or personal contacts. This may involve the use of published information, but only in a secondary capacity.

L Dissemination of Technical Information — Programs which provide for the publication and distribution of information or data of a specialized technical nature frequently through clearinghouses or libraries. This does not include conventional public information services designed for general public consumption.

M Training — Programs which provide instructional activities conducted directly by a Federal agency for individuals not employed by the Federal Government.

N Investigation of Complaints — Federal administrative agency activities that are initiated in response to requests, either formal or informal, to examine or investigate claims of violations of Federal statutes, policy, or procedure. The origination of such claims must come from outside the Federal Government.

O Federal Employment — Programs which reflect the Government-wide responsibilities of the Office of Personnel Management in the recruitment and hiring of Federal civilian agency personnel.

## Contents Of the Catalog

The Catalog contains Federal domestic assistance programs available to: State and local governments (including the District of Columbia and federally recognized Indian tribal governments); territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.

Programs in the Catalog provide information on the:

- Federal agency administering a program;
- Authorization upon which a program is based;
- Objectives and goals of a program;
- Types of financial and nonfinancial assistance offered under a program;
- Uses and restrictions placed upon a program;
- Eligibility requirements;
- Application and award process;
- Amount of obligations for the past, current, and future fiscal years;
- Regulations, guidelines and literature relevant to a program;
- Information contacts at the headquarters, regional, and local offices;
- Programs that are related based upon program objectives and uses;
- Examples of funded projects;
- Criteria for selecting proposals; and
- Individual agency policies and Federal circular policies pertaining to a program.

Programs in the Catalog provide a wide range of benefits and services, which have been grouped into 20 basic functional categories, and 176 subcategories which identify specific areas of interest. Listed below are the 20 basic categories in which all programs have been grouped by primary purpose.

- Agriculture
- Business and Commerce
- Community Development
- Consumer Protection
- Cultural Affairs
- Disaster Prevention and Relief
- Education
- Employment, Labor, and Training
- Energy

- Environmental Quality
- Food and Nutrition
- Health
- Housing
- Income Security and Social Services
- Information and Statistics
- Law, Justice, and Legal Services
- Natural Resources
- Regional Development
- Science and Technology
- Transportation

Programs in the Catalog also include service activities of regulatory agencies.

The Catalog does not include:

- Solicited contracts administered under procurement laws and regulations for the purchase of goods and services for the Federal Government;
- Foreign activities except as such programs have direct economic benefit in the domestic economy. ( program that provides both domestic and foreign assistance will be included with the description of the program oriented toward the domestic aspect.);
- Personnel recruitment programs of individual Federal departments which offer employment opportunities as part of normal recruiting operations, (the overall Government-wide programs of the Office of Personnel Management are included);
- Benefits or assistance available only to current employees of the Federal Government either civilian or military;
- New programs proposed in the Budget for which appropriations have not been enacted; and
- Programs which are no longer active due to expired authorization or appropriation.

## Organization of the Catalog

The Catalog is divided into three basic sections —— the indices, the program descriptions, and the appendices.

**INDICES**—To locate specific programs of interest, determine eligibility, and to obtain information on the dates applications for assistance should be submitted to the funding agency, users may consult the Agency Program Index, the Functional Index, or the Subject Index; the Applicant Eligibility Index, and the Index listing deadlines for program applications.

**The Federal Agency Summary** provides a description of the functions and activities of Federal agencies responsible for administering programs in the Catalog. Program numbers are also listed with the administering agency.

**The Agency Program Index** lists all programs in the Catalog in numerical order by the five-digit program identification number, the program title, the Federal agency responsible for administering the program, and whether the program offers financial assistance, nonfinancial assistance, or a combination of both.

**The Functional Index Summary** lists the basic functional categories and the subcategories which further identify specific areas of interest. Following the Summary is the Functional Index listing each program number and title under the appropriate basic category and subcategory.

**The Subject Index** provides a detailed listing of programs by various topics, popular name, general functional terms, categories of services, and selected beneficiaries, and is followed by the applicable program numbers. The Popular Name Index has been merged with the Subject Index.

**The Applicant Eligibility Index** is a listing in program number sequence, along with program titles, indicating the applicants eligible to apply. The index lists programs which may be applied for by:

— any of the several States of the United States, the District of Columbia, or any agency or instrumentality of a State exclusive of State institutions of higher education and hospitals;

— local governments which include a county, parish, municipality, city town, township, village, State-designated Indian tribal government, local public authority, school district, special district, intrastate district, council of governments, sponsor group representative organizations, and other regional or interstate government entity, or any agency or instrumentality of a local government;

— U.S. Territories (and possessions) of the United States which include the Commonwealths of Puerto Rico and the Northern Mariana Islands, the Virgin Islands, Guam, Trust Territory of the Pacific Islands, and American Samoa;

— Federally Recognized Indian Tribal Governments which includes the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including any Native village as defined in Section 3 of the Alaska Native Claims Settlement Act, 85 Stat. 688) certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs.

— nonprofit organizations and institutions which include quasi-public, public and private institutions of higher education and hospitals, Native American Indian Organizations, and other quasi-public and private nonprofit organizations such as, but not limited to, community action agencies (CAAs), Headstart agencies, research institutes, educational associations, and health centers. Excluded under this definition are Government-owned contractor operated facilities or research centers providing support for mission-oriented, large scale programs that are Government-owned or controlled, or are designed as federally funded research and development centers;

— private individuals such as Native Americans, homeowners, students, farmers, artists, scientists, consumers, small business, refugees, aliens, veterans, senior citizens, low-income persons, health and education professionals, builders, contractors, developers, handicapped persons, the physically afflicted.

**The Deadlines Index (for program applications)** is a listing of program numbers and titles and the deadline date(s) by which funding agencies must receive applications. This information is also contained in the Deadlines Section of the program descriptions.

Users should also consult the following listings:

**The Deleted Programs** list which identifies programs that have been deleted since the previous edition of the Catalog due to: expiration of authorization or appropriation; programs incorporated into existing programs (which results in a deletion of program numbers rather than the program itself); termination of an agency; or the criteria for inclusion in the Catalog are no longer valid, (e.g., programs no longer operating with Federal funds).

**The Added Programs** list which identifies newly authorized and/or newly funded programs, programs that have been reinstated due to new authorization, or programs not previously submitted by a Federal agency.

Also included on this list are programs that have been split from existing programs and assigned new program numbers (which results in an increase in the number of programs previously funded rather than newly funded programs).

**The Crosswalk of Changes to Program Numbers and Titles** which lists programs that have undergone a title change, or a program number change due to restructuring of programs, or reorganization of a Federal agency.

**PROGRAM DESCRIPTIONS**——The center section of the Catalog contains descriptions of Federal programs listed by program number in the same numerical sequence as the Agency Program Index. Detailed information concerning programs are contained under the description headings of each Catalog program. The following is an explanation of each program description heading followed by examples of the type of information found under each heading.

**NOTE: The program used in the example below does not exist. It is provided for the purpose of illustration only.**

**PROGRAM NUMBER, TITLE, AND POPULAR NAME** — Each program in the Catalog is preceded by a five-digit program identification number. The first two digits identify the Federal department or agency that administers the program, and the last three numbers are assigned in numerical sequence. Thus, program number 10.500 is administered by the Department of Agriculture. 11.500 by the Department of Commerce, 12.500 by the Department of Defense, 13.500. (In the numerical sequence of program numbers, some numbers do not appear due to program deletions or consolidations. To accomodate users systems and records, the numbers are not assigned to other programs but are reserved for the reinstated programs.) The program title is the descriptive name given to a program. The popular name, which is less descriptive than the program title, is the name by which programs are commonly known or most often used by applicants and agencies.

Example: 13.259 Mental Health—Children's Services

**FEDERAL AGENCY** — The Federal agency is the Federal department, agency, commission, council or instrumentality of the Government, and the primary organizational sub-unit (the administering office) that has direct operational responsibility for managing a program.

Example: ALCOHOL, DRUG ABUSE AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION** — This section lists the legal authority upon which a program is based (acts, amendments to acts, Public Law numbers, titles, sections, Statute Codes, citations to the U.S. Code, Executive Orders, Presidential Reorganization Plans, and Memorandum from an agency head).

Example: Community Mental Health Centers Amendments of 1975; Public Law 94-63; Part A, Section 203(e); U.S.C. 2689.

**OBJECTIVES** — This is a brief statement of specific objectives stated in terms of what the program is intended to accomplish along with the goals toward which the program is directed.

Example: To stimulate innovative approaches to children's mental health problems emphasizing prevention and coordination of community services; to expand training activities and broaden resources for children's mental health services.

**TYPES OF ASSISTANCE** — This section indicates the form in which the assistance is transmitted from the Federal Government and is initially received for use or distribution by the applicant.

Example: Project Grants.

**USES AND USE RESTRICTIONS** — This section describes the potential uses for the assistance provided to meet stated objectives, and the specific restrictions placed upon the use of funds. The section cites one or numerous applications depending upon the nature of a particular program, and whether the program is suitable for joint funding under OMB Circular No. A-111. Since this section translates objectives into the uses of a program, users may develop a clearer understanding of the program's objectives.

Example: Support for Continuation Grants only. Program authorizes funds on a matching basis for initial staffing of facilities offering mental health services for children. Staffing grants may be used for a portion of the costs of professional and technical personnel to operate a facility for child mental health services; a higher percentage may be paid if an area has been designated a poverty area by the Secretary, HHS. The proposed program must provide consultation and coordinating services with other community agencies serving children in service area, and must include a plan with the means by which it will be evaluated. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restriction involved.

## ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility** — This section indicates who can apply to the Federal Government for assistance and the criteria the potential applicant must satisfy. For example, individuals may be eligible for research grants, and the criteria to be satisfied may be that they have a professional or scientific degree, three years of research experience, and be a citizen of the United States. Universities, medical schools, hospitals, or State and local governments may also be eligible. Where State governments are eligible, the type of State agency will be indicated (State welfare agency or State agency on aging) and the criteria that they must satisfy.

Certain programs in the Catalog (e.g., the Pell Grant program which provides grants to students) involve intermediate levels of application processing, i.e., applications are transmitted through colleges or universities that are neither the direct applicant nor the ultimate beneficiary. For these programs, the criteria that the intermediaries must satisfy are also indicated, along with intermediaries who are not eligible.

Example: To be eligible for staffing grants, applicant must be part of, or affiliated with, a community mental health center, unless there is no center serving the community. Applicant may then be any public or private nonprofit agency providing, or coordinating with programs which will provide, a full range of mental health services for children and their families residing in the service area. Only support for continuation projects are currently available.

**Beneficiary Eligibility** — This section lists the ultimate beneficiaries of a program, the criteria they must satisfy and who specifically is not eligible. The applicant and beneficiary will generally be the same for programs that provide assistance directly from a Federal agency. However, financial assistance that pass through State or local governments will have different applicants and beneficiaries since the assistance is transmitted to private sector beneficiaries who are not obligated to request or apply for the assistance.

Example: Children and their families in the service area as well as personnel of schools and other community agencies serving children.

**Credentials/Documentation** — This is a brief description of the credentials or documentation required prior to, or along with, a request or application for assistance. Indicated are the eligibility factors that must be proved, certified, or established. This section also indicates OMB Circular No. A-87 requirements (Cost Principles Applicable to Grants and Contracts with State and Local Governments) where applicable, State Plan requirements, and whether Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Attachment A, Part III of OMB Circular No. A-95 (revised).

Example: Costs will be determined in accordance with HHS Regulation 45 CFR, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

## APPLICATION AND AWARD PROCESS:

**Preapplication Coordination** — This section indicates whether any prior coordination or approval is required with governmental or nongovernmental units prior to the submission of a formal application to the Federal funding agency. For example, programs may require 1) State agency approval prior to the submission of an application to a Federal agency, 2) preparation and submission of a State Plan under Part III of OMB Circular No. A-95, 3) coordination with State and areawide clearinghouses under Part I of OMB Circular No. A-95, 4) the submission of environmental impact information as required by the National Environmental Policy Act of 1969, and Executive Order 11514 of March 4, 1970, 5) coordination with the policies of OMB Circular No. A-102, (Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments), or 6) a preapplication or preapplication conference. Applicants should also ascertain from the Federal agency the existence of other circular requirements not indicated by this section, and from the State any State requirements which may be in effect. Example: Preapplication consultation with the ADAMHA Branch of the HHS Regional Office is not mandatory. Application must be accompanied by evidence of approval and recommendation by the appropriate State agency or agencies. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Attachment A, Part I of OMB Circular No. A-95 (revised).

**Application Procedure** — This section discusses the basic procedural steps required by the Federal agency in the application process, beginning with the lowest level (e.g., State and local government units, institutions or organizations) and ending eventually with the Federal Government. Each program will indicate whether applications are to be submitted to the Federal headquarters, regional or local office, or to a State or local government office. If a State Plan is required, this will be indicated again in this section since 'applications' under formula grant programs are in the form of a State Plan. Numerous programs in the Catalog require the standard application forms in OMB Circular No. A-102 (Attachment M), other applications may be in the form of a written request to the funding agency stating the need for assistance and requesting available services, or a formal proposal prepared in response to an announcement in the Federal Register or the Commerce Business Daily. (See information and guidance on application procedures under Appendix I below.) Also indicated in this section is whether OMB Circular No. A-110 (Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations) applies to the program.

Example: Continuation Application Form ADM-115 should be used for staffing. Instructions and consultation may be obtained from the mental health section of the appropriate HHS Regional Office. Application is sent to the Regional Office with copy to Acting Director, Division of Mental Health Service Programs, NIMH, 5600 Fishers Lane, Rockville, MD 20857. This program is subject to the provision of OMB Circular No. A-110.

**Award Procedure** — This section lists the basic procedural steps for awarding assistance, beginning with the organizational components of the Federal agency that has final approval authority for the application and ending with the lowest level at which Federal resources are expended. Also indicated is whether assistance passes through the initial applicant for further distribution by intermediate level applicants to groups or individuals in the private sector.

Accepted applications are subjected to evaluation by the headquarters, regional, local or district office to determine the feasibility of the proposed project to include consistency with Federal and individual agency policies concerning its scope and purpose. Grant payments may be made by a letter of credit, advance by Treasury check, or reimbursement by Treasury check. At this time, notification of the award is also sent (by the Federal agency) to the State Central Information Reception Agency (SCIRA) as prescribed by Treasury Circular 1082. (SCIRAs are State agencies located in each State, designated by the Governor to serve as the central reception point for Federal grant-in-aid information. The Department of the Treasury provides Federal agencies with the addresses of SCIRAs.) Awards may be made by the headquarters office directly to the applicant, an agency field office, a regional office, or by an authorized county office.

Example: The Regional Health Administrator makes awards to approved applicants and provides required notification to designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines** — When available, this section indicates the deadlines for applications to the funding agency which will be stated in terms of the date(s) or between what dates the application should be received. Reference is made to new applications, continuations, renewals, and supplementals. Application deadline information is also indicated in the Deadlines Index, in the agency's program guidelines, or announced in the Federal Register. Where not available, applicants should contact the funding agency for deadline information.

Example: Staffing: Determined by award period (contact the Regional Office).

**Range of Approval or Disapproval Time** — This section informs the applicant of the representative range of time required for the application to be processed (in terms of days and months) at the Federal level.

Example: 90 to 120 days.

**Appeals** — In some cases, there are no provisions for appeal. Where applicable, this section discusses appeal procedures or allowable rework time for resubmission of applications to be processed by the funding agency. Appeal procedures vary with individual programs and are either listed in this section or applicants are referred to appeal procedures documented in the relevant Code of Federal Regulations (CFR).

Example: Not applicable. (An appeal was not applicable in this case. A related program (13.231) allows applicants to reapply if revised applications are submitted.)

**Renewals** — This section advises the applicant whether renewals or extensions of applications are available and the procedures for such. In some instances, renewal procedures may be the same as the application procedure, e.g., for projects of a non-continuing nature renewals will be treated as new, competing applications; for projects of an on-going nature renewals may be given annually.

Example: This program is on-going and is renewed annually. Grantees are required to update their plan and submit a current year budget.

## ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements** — This section indicates the formula, matching requirements prescribed in the allocation of funds or maintenance of effort requirements. A formula may be based on population, per capita income, etc. Applicants are informed whether there are any matching requirements to be met when participating in the cost of a project. In general, the matching share represents that portion of the project costs not borne by the Federal Government. Usually a minimum percentage for matching share is prescribed by program legislation, and matching share requirements are included in the grant agreement. Attachment F of OMB Circular No. A-102 sets forth the criteria and procedures for allowability and evaluation of matching share requirements which may be cash or in-kind contributions made by State and local governments or other agencies, institutions, private organizations, or individuals to satisfy matching requirements of Federal grants or loans.

Cash contributions represent the grantees' cash outlay, including the outlay of money contributed to the grantee by other public agencies, institutions, private organizations or individuals. When authorized by Federal regulation, Federal funds received from other grants may be considered as the grantees' cash contribution.

In-kind contributions represent the value of noncash contributions provided by the grantee, other public agencies and institutions, private organizations or individuals. In-kind contributions may consist of charges for real property and equipment, and value of goods and services directly benefitting and specifically identifiable to the grant program. When authorized by Federal legislation, property purchased with Federal funds may be considered as grantees' in-kind contribution.

Maintenance of effort is a requirement contained in certain legislation, regulations, or administrative policies stating that a grantee must maintain a specified level of financial effort in a specific area in order to receive Federal grant funds, and that the Federal grant funds may be used only to supplement, not supplant, the level of grantee funds. Programs that have maintenance of effort requirements and have total allocations over $100 million (current FY) have the following statement in this section: This program has maintenance of effort (MOE) requirements, see funding agency for further details.

Example: Staffing: Federal funds on a decreasing percentage basis over a period of 8 years 90 percent - 1st and 2nd years; 80 percent - 3rd year; 75 percent - 4th and 5th years; 70 percent - 6th, 7th and 8th years. Non-poverty areas are entitled to: 80 percent - 1st and 2nd years; 75 percent - 3rd year; 60 percent - 4th year; 45 percent - 5th year; 30 percent - 6th, 7th and 8th years.

**Length and Time Phasing of Assistance** — This section indicates the time period that the assistance is normally available, whether there are any restrictions placed on the time permitted to use the funds awarded, and the timing of disbursement of the assistance, e.g., lump sum, annually, quarterly, or as required.

Example: Staffing grants are limited to eight years by law. Payments either on a Monthly Cash Request System or under a Letter of Credit.

## POST ASSISTANCE REQUIREMENTS:

**Reports** — This section indicates whether program reports, expenditure reports, cash reports or performance monitoring is required by the Federal funding agency, and specifies at what intervals (monthly, annually, etc.), this must be accomplished.

Example: Interim progress reports submitted annually as part of a non-competing application; report of expenditures due annually; immediate reporting of any inventions.

**Audits** — This section discusses audits required by the Federal agency. The procedures and requirements are set forth in OMB Circular No. A-102 (Attachment P).

Example: Under the total audit concept, audits will be made of recipients on an organization-wide basis (rather than grant-by-grant) under OMB Circular No. A-102, attachment P.

**Records** — This section indicates the record retention requirements and the type of records the Federal agency may require. Not included are the normally imposed requirements of the General Accounting Office. For programs falling under the purview of OMB Circular No. A-102, record retention is set forth in Attachment C. For other programs, record retention is governed by the funding agency's requirements.

Example: Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

## FINANCIAL INFORMATION:

**Account Identification** — This 11-digit budget code identifies the account from which a program is funded as expressed in the Appendix to the Federal Budget. For identification code 75-0350-0-1-551, the first two digits represent the Federal agency code, and the third through sixth digits identify the apropriation (or fund) basic account symbol assigned by the Treasury Department. Where two or more accounts with different Treasury basic account symbols are included in a consolidated program, 99 will be the third and fourth digits, the fifth digit will be the fund type and the sixth digit will reflect the sequence of consolidated programs for that fund type within the agency. The seventh digit identifies the timing of transmittal of budget estimates:

0-Regular budget schedules
1-Supplemental under existing legislation
2-Proposed for later transmittal under proposed legislation
3-Proposed for later transmittal under existing legislation
4-Supplemental -- additional authorizing legislation required
5-Rescission proposal
6-Supplemental request pending

The eighth digit identifies the type of government fund involved:

1- General fund

General Fund Appropriation Accounts - Accounts established to record amounts appropriated by the Congress to be expended for the general support of the Government.

General Fund Receipt Accounts - Accounts credited with all receipts that are not earmarked by law for a specific purpose.

2- Special fund

Special Fund Appropriation Accounts - Accounts established to record appropriated amounts of special fund receipts to be expended for special programs in accordance with specific provisions of law.

Special Fund Receipt Accounts - Accounts credited with receipts from specific sources that are earmarked by law for a specific purpose.

3- Public Enterprise Revolving Fund Accounts - Funds authorized by Congress to be credited with receipts primarily from the public, that are generated by, and earmarked to finance, a continuing cycle of business-type operations.

4- Intragovernmental Revolving or Management Fund

Intragovernmental Fund Accounts - Accounts established to facilitate financing transactions within and between Federal agencies. These funds may be classified as intragovernmental revolving funds or management funds.

Intragovernmental Revolving Fund Accounts - Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

7- Trust Fund (non-revolving) - Funds collected and used by the Federal Government for carrying out specific purposes and programs according to terms of a trust agreement or statute, such as the social security and unemployment trust funds. Trust funds are administered by the Government in a fiduciary capacity and are not available for the general purposes of the Government. Trust fund receipt accounts are credited with receipts generated by the terms of the trust agreement or statute. Trust fund receipts that are not anticipated to be used in the immediate future are generally invested in interest bearing Government securities and earn interest for the trust fund. Trust fund expenditure accounts record amounts appropriated from trust fund receipts to be expended in carrying out the specific purposes or programs under the trust agreement or statute. A special category of trust funds called trust revolving funds is used to carry out a cycle of business-type operations, e.g., the Federal Deposit Insurance Corporation.

8- Trust Fund (revolving) - A fund established to finance a cycle of operations through amounts received by the fund. There are three types of revolving funds: public enterprise, intragovernmental revolving, and trust revolving funds.

9- Deposit Fund - Accounts established to facilitate the accounting for collections that are either (a) held in suspense temporarily and later refunded or paid into some other fund of the Government upon administrative or legal determination as to the proper disposition thereof or (b) held by the Government as banker or agent for others and paid out at the discretion of the depositor. These accounts are not included in the budget totals and they are not available for expenses of the Government, although they do provide a means of financing the budget.

The last three digits represent the functional classification (code) used in the latest Federal Budget document, unless noted otherwise by the Office of Management and Budget. In cases where a program is split between two or more subfunctions: (a) if all subfunctions are in the same major function, the code is the same as for the major function; or (b) if two or more major functions are involved the digits '999' are used.

Example: 75-1361-0-1-550.

**Obligations** — The dollar amounts listed in this section represent obligations for the past fiscal year (PY), estimates for the current fiscal year (CY), and estimates for the budget fiscal year (BY) as reported by the Federal agencies. In each succeeding edition of the Catalog, the dollar amounts are revised to reflect changes which may result from supplemental appropriations, amendments, etc. Each program indicates what the obligation figures represent in terms of the type of assistance provided. Obligations for nonfinancial assistance programs indicate the administrative expenses involved in the operation of a program as an indication of the magnitude of the services being provided, or the items involved in obligations.

Example: (Grants) PY $19,853,000; CY est $20,407,000; and BY est $14,830,000.

**Range and Average of Financial Assistance** — This section lists the representative range (smallest to largest) of the amount of financial assistance available. These figures are based upon funds awarded in the past fiscal year and the current fiscal year to date. Also indicated is an approximate average amount of awards which were made in the past and current fiscal years.

Example: Formula: $26,355 to $691,481; $235,305.

**PROGRAM ACCOMPLISHMENTS** — This section briefly describes the accomplishments of a program using quantitative data, focussing on program output, results achieved, or services rendered during the past fiscal year, the current fiscal year, and projections for the coming fiscal year.

Example: In the past fiscal year, 140 applications were received and 140 staffing awards were issued. Approximately 147 continuation grants were funded during the current fiscal year and 103 are estimated to be funded in the budget fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE** — This section lists the title, number, and price of guidelines, handbooks, manuals and other officially published information pertinent to a program. Since program regulations are published first in the Federal Register (FR) and later in the Code of Federal Regulations (CFR), citations to the CFR are listed.

Example: Interim guidelines available in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office** — This section lists the agency contact person, address and telephone number of the Federal regional or local office(s) to be contacted for detailed information regarding a program such as: 1) current availability of funds and the likelihood of receiving assistance within a given period; 2) whether the program is suitable for joint funding (where not indicated in the Uses and Use Restrictions section of the program); 3) preapplication and application forms required; 4) whether a preapplication conference is recommended; 5) assistance available in preparation of applications; 6) written instructions on A-95 (Part I) procedures and other circulars; 7) whether applications must be submitted to both State and areawide clearinghouses; 8) location of the clearinghouses; 9) State Plan submission date and the Federal office to receive the plan; 10) the availability of funds for preparation of a State Plan; 11) whether funding decisions are made at the headquarters, regional or local level; 12) application renewal procedures (including continuations and supplementals) or appeal procedures for rejected applications; and, 13) recently published program guidelines and material.

For most programs in the Catalog, this section references Appendix IV of the Catalog (Agency Regional and Local Office Addresses); however, certain programs list contact information under this section because of the small number of offices and/or the small number of programs for which the offices are relevant.

Example: ADAMHA Branch of the appropriate HHS Regional Office (see Appendix IV).
(Appendix IV listing) Region 1
(Connecticut, Maine, Massachusetts, New
Hampshire, Rhode Island, Vermont)
William Farrow
John F. Kennedy Federal Bldg.
Government Center
Boston, MA 02203
(617) 123-4567
(Use same 7-digit number for FTS)

**Headquarters Office** — This section lists names and addresses of the office at the headquarters level with direct operational responsibility for managing a program. A telephone number is also provided in cases where a regional or local office is not normally able to answer detailed inquiries concerning a program. Also listed are names and telephone numbers of information contacts for use by applicants in the Metropolitan Washington area.

Example: Dr. Steven Sharfstein, Acting Director, Division of Mental Health Service Programs, National Institute of Mental Health, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 123-4567 (Use same 7-digit number for FTS).

**RELATED PROGRAMS** — This section of the program description lists all programs in the Catalog that are closely related based on objectives and program uses. Applicants should also check these programs since they may provide additional assistance.

Example: 13.232, Maternal and Child Health Services; 13.233, Maternal and Child Health Training; 13.242, Mental Health Research Grants; 13.295, Community Mental Health Centers—Comprehensive Support; 13.630, Developmental Disabilities—Basic Support.

**EXAMPLES OF FUNDED PROJECTS:** This section indicates the different types of projects which have been funded in the past. The examples give potential applicants an idea of projects that may be accepted for funding. With the exception of formula grant programs, with reporting requirements from a State agency to a Federal agency, both this and the following section pertain to most financial assistance programs.

Example: Awards are made only for staffing of facilities offering mental health services for children.

**CRITERIA FOR SELECTING PROPOSALS:** This section indicates the criteria used by the Federal grantor agency to evaluate proposals in order to inform potential applicants of the application review process and the criteria used to award funds for projects.

Example: The criteria for selecting proposals is based upon the extent the project will contribute to needed services and training, capability of applicant to provide services and training, more effective utilization of personnel providing mental health services, and development of new methods or information.

**APPENDICES**——The last section of the Catalog contains five appendices: Programs Requiring Circular Coordination (Appendix I); the Authorization Appendix (Appendix II); Budget Functional Code Appendix (Appendix III); Agency Regional and Local Office Addresses (Appendix IV); and Sources of Additional Information Contacts (Appendix V).

**Appendix I — Programs Requiring Circular Coordination:** The following is a brief description of the policy circulars referenced in the programs and in this Appendix. The description explains the purpose of the circulars, to whom they apply, and the general procedures to follow in applying for assistance.

OMB CIRCULAR NO. A-95 (REVISED) EVALUATION, REVIEW, AND COORDINATION OF FEDERAL AND FEDERALLY ASSISTED PROGRAMS AND PROJECTS (Attachment A, Parts I and III). Reference: Federal Register, Volume 41, No. 8, January 13, 1976.

*Purpose:* Attachment A, Part I of A-95, Project Notification and Review System (PNRS), facilitates coordinated planning on an intergovernmental basis for certain programs through review by State and areawide planning and development clearinghouses of applications for Federal assistance. Reference to Part I of A-95 appears in the Preapplication Coordination section of the Catalog program descriptions.

Attachment A, Part III of A-95, State Plans, provides Governors and Federal agencies with information about the relationship to State or areawide comprehensive planning of State Plans which are required or form the basis for funding under various programs. Part III provides for review of such plans via the State clearinghouse. Reference to Part III of A-95 appears in the Credentials/Documentation section of the Catalog program descriptions.

Applicants: A-95, Part I applies to all applicants under any program covered thereby. Part III applies only to State agencies. For those programs covered by both Parts I and III, Part I applies to applicants for subgrants from the State agency administering a formula grant if the Federal agency must approve the subgrants. The State Plan required for the formula grant is reviewed under Part III.

Application procedure: Under A-95, Part I, clearinghouse review is normally completed in a 60 day, two stage process. Applicants submit a Notification of Intent (NOI) to apply for assistance to both the State and areawide clearinghouses in whose jurisdiction the project is to be located for a 30 day review period. Applicants then submit the completed application to clearinghouses for a 30 day review prior to submission of the application to the Federal funding agency. Comments made by or through clearinghouses must be submitted with the application to the Federal agency.

Applicants should check with the Federal funding agency for the names and addresses of the appropriate State and areawide clearinghouses. Applicants are urged to notify clearinghouses as early as possible in the application development process.

In various States, State law requires review of applications for Federal assistance under certain programs not covered by A-95, Part I. Such laws are enforced through State rules and regulations. Applicants are encouraged to ascertain the existence of such laws and to acquaint themselves with applicable procedures through contact with clearinghouses.

(See the Project Notification and Review System chart and narrative on the following pages for detailed application procedures under Part I of A-95.)

Under A-95, Part III, State agencies submit a State Plan to the Governor or the Governor's designated Plan review agency for a 45 day review period prior to submission of the Plan to the Federal funding agency.

OMB CIRCULAR NO. A-102, UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS—IN—AID TO STATE AND LOCAL GOVERNMENTS. Reference: Federal Register, Volume 42, No. 176, September 12, 1977.

*Purpose:* OMB Circular No. A-102 establishes uniform administrative requirements for programs that provide financial assistance through grants to State and local governments. It is intended to promote uniformity and consistency among Federal agencies in administration of grants by establishing standards in 16 areas. These areas include records retention, matching share, standards for grantees financial management systems, financial reporting requirements, standard forms for applying for Federal assistance, and audit standards. Only specific requirements imposed by the legislation establishing a grant program can take precedence over these and other standards included in the circular. Reference to this circular appears in the Preapplication coordination section of programs to which the requirement applies.

*Applicants:* State, local and federally recognized Indian tribal governments exclusive of institutions of higher education and hospitals.

*Application procedure:* Along with other administrative requirements of this circular, Attachment M sets forth the standard application forms to be used by State and local governments in applying for Federal grants except those Federal formula grants which do not require grantees to apply for Federal funds on a project basis. As indicated in the Attachment the standard forms and their purposes are briefly described below and are available from the Federal grantor agency:

1. Standard Form 424 - Federal Assistance: This form, which replaces Part I of the following applications, must be used as a cover sheet for the preapplication and the application forms described below.

2. Preapplication for Federal Assistance: This form is used to: (1) Establish communication between the Federal grantor agency and the applicant; (2) determine the applicant's eligibility; (3) determine how well the project can compete with similar applications from others; and (4) eliminate any proposals which have little or no chance for Federal funding before applicants incur significant expenditures for preparing an application. Preapplication forms shall be required for all construction, land acquisition and land development projects or programs for which the need for Federal funding exceeds $100,000. The Federal grantor agency may require the use of the preapplication form for other types of grant programs or for those for which the Federal fund request is for $100,000 or less. In addition, Federal agencies shall establish procedures allowing State and local government applicants to submit, if they so desire, the preapplication form when mandatory requirements for preapplication do not exist.

3. Federal Assistance Application for Nonconstruction Programs: This form is designed to accommodate several programs and shall be used by the applicant for all actions covered by Attachment M except where the major purpose of the grant involves construction, land acquisition, or development or single-purpose and one-time grant applications for less than $10,000 which do not require clearinghouse approval, an environmental impact statement, or the relocation of persons, businesses, or farms.

4. Federal Assistance Application for Construction Programs: This form is required for all grants where the major purpose of the program involves construction, land acquisition, and land development, except when the Application for Federal Assistance-Short Form is used.

5. Application for Federal Assistance — Short Form: This form is used for all grants for single-purpose and one-time grant applications for less than $10,000 not requiring clearinghouse approval, an environmental impact statement, or the relocation of persons, businesses, or farms. Federal grantor agencies may, at their discretion, authorize the use of this form for applications for larger amounts.

For all forms described herein all requests by grantees for changes, continuations, and supplementals to approved grants shall be submitted on the same form as the original application. For these purposes, only the required pages of the forms should be submitted.

OMB CIRCULAR NO. A-110, GRANTS AND AGREEMENTS WITH INSTITUTIONS OF HIGHER EDUCATION, HOSPITALS, AND OTHER NONPROFIT ORGANIZATIONS. Reference: Federal Register, Volume 41, No. 148, July 30, 1976.

*Purpose:* Sets forth administrative requirements for the administration of grants and other agreements to include money or property in lieu of money; does not include technical assistance programs providing services, or loans, loan guarantees, insurance, or direct payments to individuals. Reference to this circular appears in the Application Procedure section of programs that apply.

*Applicants:* Public and private institutions of higher education, hospitals, and other quasi-public and nonprofit organizations. The circular applies to agencies administering grants made to the above recipients and to their sub-recipients. (This circular does not apply to State and local governments covered by OMB Circular No. A-102.)

*Application procedure:* Standard Form 424 must be used for applications when applying for grants under programs covered by Attachment A, Part I of OMB Circular No. A-95 (revised).

OMB CIRCULAR NO. A-111, JOINTLY FUNDED ASSISTANCE TO STATE AND LOCAL GOVERNMENTS AND NONPROFIT ORGANIZATIONS. Reference: Federal Register, Volume 41, No. 148, July 30, 1976.

*Purpose:* Establishes policies and procedures to be followed in the joint funding of related programs of Federal assistance pursuant to the Joint Funding Simplification Act of 1974. Under one application, applicants may apply for resources available from more than one Federal agency, program, or appropriation, including assistance from State sources. Programs considered suitable for joint funding are identified in the Uses and Use Restrictions section of the programs. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate agency for further information on statutory or other restrictions involved.

*Applicants:* State and local governments, Indian tribes, and nonprofit organizations acting separately or jointly in seeking assistance with respect to a single project.

*Application procedure:* Applicants submit the preapplication and application forms contained in Attachment H of this circular to the Federal Regional Council (FRC) in the region in which the applicant is located, and to State agencies from which the applicant requests assistance. If a Federal program being considered for joint funding assistance is subject to Part I of OMB Circular No. A-95, the entire joint funding application is subject to the policies and provisions of that circular. If an environmental impact statement is required, arrangements should be made for preparation of a joint or single environmental impact statement for the project. Applications for Federal assistance are submitted to the lead agency designated by the FRC. The FRC provides guidance and coordination on all applications for joint funding.

OMB CIRCULAR NO. A-87, COST PRINCIPLES APPLICABLE TO GRANTS AND CONTRACTS WITH STATE AND LOCAL GOVERNMENTS (formerly FMC 74-4). Reference: 34 CFR 255.

*Purpose:* Establishes principles for determining allowable direct and indirect costs applicable to grants and contracts (including subgrants and subcontracts) and provides standards for determining the allowability of selected items of cost. Reference to this circular appears in the Credentials/Documentation section of programs that apply.

*Applicants:* State and local governments and other applicants as determined by the Federal funding agency. This circular does not apply to publicly financed institutions of higher education (covered by OMB Circular No. A-21, Cost Principles for Educational Institutions, formerly FMC 73-8) or publicly owned hospitals and other providers of medical care subject to the requirements of the Federal agency.

*Application procedure:*

a) The Department of Health and Human Services, in consultation with other Federal agencies concerned, will be responsible for negotiation, approval, and audit of cost allocation plans, which will be submitted to it by the States. These plans will cover central support service costs of the State.

b) At the grantee department level in a State, a single Federal agency will have been assigned responsibility similar to that set forth in (a), above, for negotiation, approval, and audit of the indirect cost proposal.

c) Cost allocation plans will be retained at the local government level for audit by a designated Federal agency except in those cases where the designated agency requests that cost allocation plans be submitted to it for negotiation and approval.

d) At the grantee department level of local governments, the Federal agency with the predominant interest in the work of the grantee department will be responsible for the necessary negotiation, approval and audit of the indirect cost proposal.

An additional reference source for application procedures, A Guide for State and Local Government Agencies, is published by the Department of Health and Human Services and is available at the Government Printing Office.

DEPARTMENT OF THE TREASURY CIRCULAR 1082, NOTIFICATION TO STATES OF GRANT-IN-AID INFORMATION. Reference: Federal Register, Volume 40, No. 226, November 21, 1975.

*Purpose:* Establishes procedures for Federal agency notification to the State Central Information Reception Agency (SCIRA) of the purpose and amount of grants or grants-in-aid in the form of cost reimbursable contracts awarded to States and local governments, (including the District of Columbia), and territories and possessions of the U.S. Also reported are all other types of Federal financial assistance (loans, loan guarantees, and insurance) awarded to State-affiliated institutions of higher education, quasi-public agencies and nonprofit institutions. Grants-in-aid covered by this circular are comprised of two categories for reporting purposes: 1) basic reporting of Federal assistance information which includes all grants or grants-in-aid in the form of cost reimbursable contracts awarded to State and local governments, and 2) supplemental reporting of Federal assistance information which includes all other financial assistance regardless of the recipient type, where there is a perceivable need for such information to facilitate State and local government planning, budgeting, or program administration. For basic reporting, Federal agencies submit a Report of Federal Action to the appropriate SCIRA using SF 424. Supplemental reporting is submitted to the SCIRA using the most practicable means available to the agency. As indicated in Appendix I, programs with one asterisk have been identified by agencies as basic reporting. Programs having two asterisks have been identified as basic as well as supplemental reporting. Reference to this circular appears in the Award Procedure section of programs to which the requirements apply.

*Applicants:* The requirements of this circular are applicable only to Federal agencies administering grant-in-aid programs.

*Application procedure:* This circular does not contain requirements for the applicant in applying for Federal assistance.

## ENVIRONMENTAL IMPACT STATEMENTS

*Purpose:* Specific programs listed in the Catalog have been determined to have a significant effect on the environment and require an environmental impact assessment or an environmental impact statement under the National Environmental Policy Act of 1969 and Executive Order 11514 of March 4, 1970. (Significant effects include actions that may have both beneficial and detrimental effects.) Reference to this requirement appears in the Preapplication Coordination section of programs that apply.

*Applicants:* The requirements apply to applicants seeking assistance under programs identified in the Catalog, or other programs so identified by the grantor agency, as requiring an environmental impact statement or an environmental impact assessment.

*Application procedure:* In the early stages of project application, and in all cases prior to agency decisions concerning major actions on applications, the applicant should be advised by the Federal funding agency that environmental impact information is required (to be submitted under the agency's guidelines) in connection with the proposed project for an environmental assessment (to be made by the Federal agency), or an environmental impact statement (to be supplied by the Federal agency) concerning the project. Although the list in Appendix I is not conclusive, it contains programs normally requiring either an environmental assessment or an environmental impact statement.

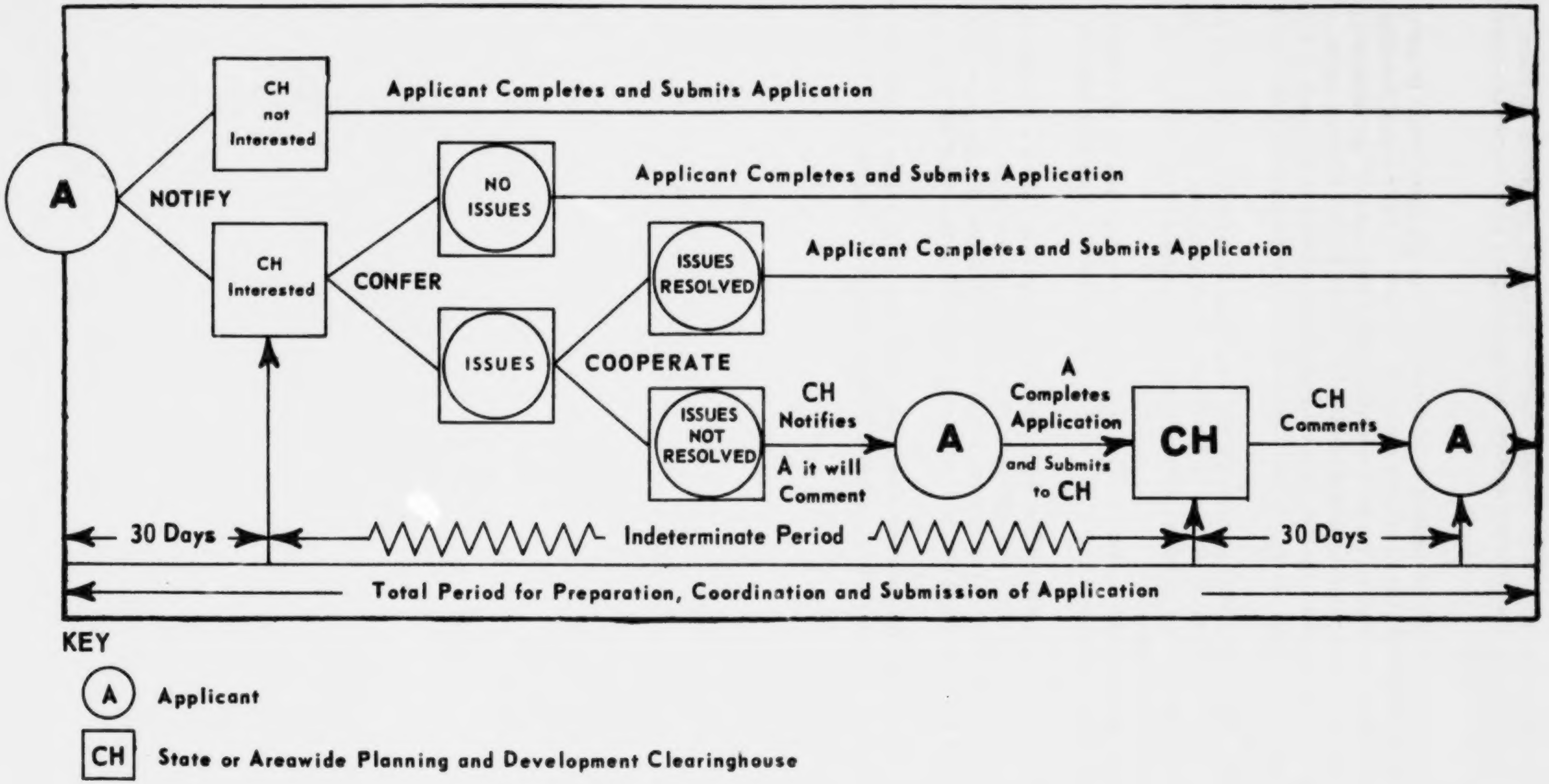
**Appendix II — Authorization Appendix:** This appendix lists Acts, Executive Orders and Public Law numbers which mandate programs in the Catalog. Acts and Executive Order citations are listed in alphabetic sequence and Public Law citations are listed numerically by the Congress. The citations are followed by their corresponding program numbers.

**Appendix III — Budget Functional Code Appendix:** This appendix lists programs by the Budget functional classification. The three digits listed are the major and minor functional classifications used to identify the major purpose of the programs.

**Appendix IV — Agency Regional and Local Office Addresses:** This appendix lists the names, addresses and telephone numbers of the regional and local offices which should be contacted for detailed information concerning a program and for initiating the process for applying for assistance. In cases where a Federal agency does not have a regional or local office, the headquarters office listed in the program description should be contacted.

**Appendix V — Sources of Additional Information Contacts:** Additional information concerning Federal programs is available from Federal Information Centers, Federal Regional Councils, and Federal Executive Boards as listed in this Appendix.

# The Project Notification and Review System


A
NOTIFY
CH not Interested
CH Interested
Applicant Completes and Submits Application
CONFER
NO ISSUES
ISSUES
Applicant Completes and Submits Application
COOPERATE
ISSUES RESOLVED
ISSUES NOT RESOLVED
Applicant Completes and Submits Application
CH Notifies A it will Comment
A
A Completes Application and Submits to CH
CH
CH Comments
A
30 Days
Indeterminate Period
30 Days
Total Period for Preparation, Coordination and Submission of Application
KEY
A Applicant
CH State or Areawide Planning and Development Clearinghouse

The Project Notification and Review System (PNRS) is a two-part system consisting of two separate 30-day periods for review of applications by State and areawide clearinghouses commencing with the clearinghouses' receipt of the Notification of Intent (NOI) to apply for assistance. During the first 30-day period, the NOI is reviewed by the clearinghouses and submitted for comment to State agencies, local governments, and other public agencies whose projects or programs may be affected by the proposed project. During the second 30-day period, the completed, formal application is reviewed by the clearinghouses and comments returned to the applicant. The applicant then submits the completed application, including clearinghouse comments, to the Federal funding agency. The following pages contain detailed procedures applicants should follow in applying for Federal assistance programs covered by Attachment A, Part I of OMB Circular No. A-95 (revised).

**Program Application Procedures**

1. Applicant contacts Federal funding agency to:

   (a) request the agency's written procedures and regulations implementing the requirements of A-95, Part I;

   (b) obtain the address of the clearinghouses in whose jurisdiction the proposed project is located;

2. Applicant submits the Notification of Intent (NOI) to apply for assistance to clearinghouses for a 30 day review.

The NOI may be submitted on Standard Form 424. However, many clearinghouses have developed their own notification forms and instructions. Applicants are urged to contact the clearinghouses for this information in order to expedite the review process.

The NOI should include a summary description of the project for which assistance is being sought. Where not otherwise prescribed by the Federal funding agency, the summary should contain the following information, as appropriate and to the extent available (A-95, Part I):

(a) identity of the applicant agency, organization, or individual applying for assistance;

(b) the geographic location of the project to be assisted;

(c) a brief description of the proposed project (type, purpose, general size or scale, estimated cost, beneficiaries, or other characteristics which will enable clearinghouses to identify agencies of State or local government having plans, programs or projects that might be affected by the proposed project);

(d) a statement as to whether the applicant has been advised by the funding agency that environmental impact information is required;

(e) the Federal program title, Catalog program number, and the Federal funding agency as listed in the latest Catalog of Federal Domestic Assistance.

(f) the estimated date the applicant expects to formally file the application with the funding agency.

**Exceptions and Variations**

If the applicant submits a completed application to the clearinghouse without having submitted a NOI (because of the project's simplicity or because the clearinghouse's procedures do not require a review at the notification stage), the clearinghouse may have a total of 60 days to review the completed application.

If the applicant submits both the NOI and the completed application within the first 30 days, the clearinghouse may have the number of days remaining in the initial 30-day notification period and the second 30 days to complete the review. (The submission of the completed application initiates the beginning of the second 30-day period.) If the clearinghouse cannot complete the review within 30 days, normally the applicant is notified to that effect.

If the applicant receives no response from the State or areawide clearinghouse within the allotted 30 days for review of the NOI, the applicant may contact the clearinghouse to ascertain the status of the NOI, or submit a completed application to the clearinghouse initiating final review of the application.

The clearinghouse may not wish to review the completed application; however, after the initial review, an information copy of the completed application may be requested by the clearinghouse at the time it is submitted to the funding agency.

Applications for renewal or continuation of grants, or applications not submitted to or acted on by the funding agency within one year after completion of clearinghouse review will be subject to a second review upon request by the clearinghouse. Part I of Circular A-95 also requires clearinghouse review of proposed amendments to applications as well as review of the original application. Review of amendments is normally completed within 30 days.

### Special Purpose Unit of Local Government Versus General Local Government

If assistance is being sought by a special purpose unit of local government, the clearinghouses must assure that any unit of general local government having jurisdiction over the area in which the project is to be located has the opportunity to confer, consult, or comment upon the project and its application.

In the case of an application submitted by a special purpose unit of local government, where accompanying comments indicate that the unit of general local government having jurisdiction over the area in which the project is to be located has submitted or plans to submit an application for assistance for the same or similar type of project, clearinghouses will assure that appropriate considerations and preferences are accorded the unit of general local government as specified in Section 402 of the Intergovernmental Cooperation Act of 1968.

### Applications for Housing Programs

For housing programs of the Department of Housing and Urban Development (HUD), the Veterans Administration, and the Farmers Home Administration of the Department of Agriculture, the developer submits a preliminary application to the funding agency. The application should describe the project in enough detail for evaluation purposes, but lacking detailed construction plans, so that the agency can establish the feasibility and/or eligibility of the proposed project for the type of funding sought. The funding agency will transmit a copy of the initial application to the appropriate State and areawide clearinghouses for review. The clearinghouses will have 30 days to review the application and forward comments to the agency. Processing of applications at the agency will proceed concurrently with the clearinghouses' review. This procedure includes only applications involving new construction or substantial rehabilitation, and will apply to applications for loans, loan guarantees, mortgage insurance or other housing assistance. (Additional units in a substantially completed – partially built up – subdivision are not subject to a funding review. Federal agencies do not finance subdivisions, but evaluate the subdivision plan.)

As an alternative to the above procedure, the developer may submit the application directly to the appropriate clearinghouses for review prior to submitting it to the funding agency to identify any potential difficulties that could cause delay or rejection of the project. This procedure, however, involves 60 days for review. (Some HUD offices have required developers to contact clearinghouses before submitting an application to them.) The extent to which this approach and associated procedures are used should be worked out between the regional offices of the Federal agency and the clearinghouses.

### Land/Water Use Programs and Construction in the National Capital Region

For project applications involving land or water use and development or construction in the National Capital Region (the District of Columbia; Prince Georges and Montgomery Counties, Maryland; Arlington, Fairfax, Prince William, and Loudoun Counties and the City of Alexandria, Virginia), a copy of the application is to be sent to the National Capital Planning Commission, the official Federal planning agency for the National Capital Region, in addition to the State and areawide clearinghouses.

3. Clearinghouses notify public agencies.

Upon receipt of the NOI, the clearinghouses have a total of 30 days to react to and gather comments about a project from public agencies.

State clearinghouse will disseminate project notification to the appropriate State and multistate agencies which might have programs affected by the proposed project, including where appropriate, environmental agencies and State agencies responsible for enforcing or furthering the objectives of civil rights laws. The areawide clearinghouse will disseminate project notifications to local government agencies or regional bodies whose interest might be affected by the proposed project, and where appropriate, local agencies with environmental and civil rights responsibilities and, upon request, to the local chief executives for projects proposed within their jurisdictions so that they may coordinate internal reviews by municipal and county agencies.

4. Public agencies review proposed project.

The public agencies will review the proposed project and inform the clearinghouses of their interest, if any. The staff of an areawide clearinghouse also conducts its own review to evaluate the consistency and significance of proposed projects to State, areawide, and local plans and programs for the area.

5.(a) No issues raised by public agencies or clearinghouses.

If no issues are raised, the clearinghouse 'signs off' and notifies the applicant. The applicant has fulfilled the requirements of Part I and may complete the application and submit it to the funding agency unless the clearinghouse specifies that it wishes to review the completed application. If it does, the clearinghouse will have an additional 30 days for review. The applicant then submits the application to the funding agency. The majority of applications do not raise any issues and do not go pass this stage of the review process.

5.(b) Issues raised by public agencies or clearinghouses.

Public agencies and/or the clearinghouses may find that a project 1) is not consistent with area planning (duplicates or conflicts with existing programs), 2) would be minimally effective, 3) would adversely affect the environment, 4) would not meet civil rights requirements, etc. These issues will be resolved in conferences held with the applicant.

Although areawide review procedures vary widely, many clearinghouses have project review committees and/or boards (usually consisting of local elected officials) that will become involved in formal review of the application, after initial staff reviews have been made and issues identified. The project review committee will consider the application and make its recommendations, the board then considers the reviews and adopts the official position of the clearinghouse on the applications at regularly scheduled meetings. The meetings are often open to the public and may be attended by the applicant (clearinghouse procedures will govern).

6. Clearinghouse arranges conference with applicant.

The clearinghouse will arrange conference as necessary with the applicant within 30 days of NOI to apply for assistance. Conferences may be held between the applicant, concerned public agencies, and the clearinghouses staff to 1) explore the project in greater detail, 2) strengthen the project, 3) identify possible conflicts, differences or mutuality of interest, or 4) resolve conflicts. If there is continued interest by the public agencies, the applicant, the clearinghouse, and the agencies may cooperate in developing an application.

7.(a) Conflicts resolved.

When conflicts are resolved and the clearinghouse is satisfied with the application, the clearinghouse 'signs off' and the applicant is notified. The clearinghouse may request review of the final application to make sure it reflects any changes in the project that may have been negotiated.

7.(b) Conflicts cannot be resolved.

When the parties involved agree that conflicts or differences concerning the proposed project cannot be resolved, the clearinghouse notifies the applicant that it will supply comments to that effect which must accompany the final application.

8. The clearinghouse requests the applicant to submit a completed application for final review. During the second 30-day review period, the clearinghouses and interested public agencies prepare comments on the proposal.

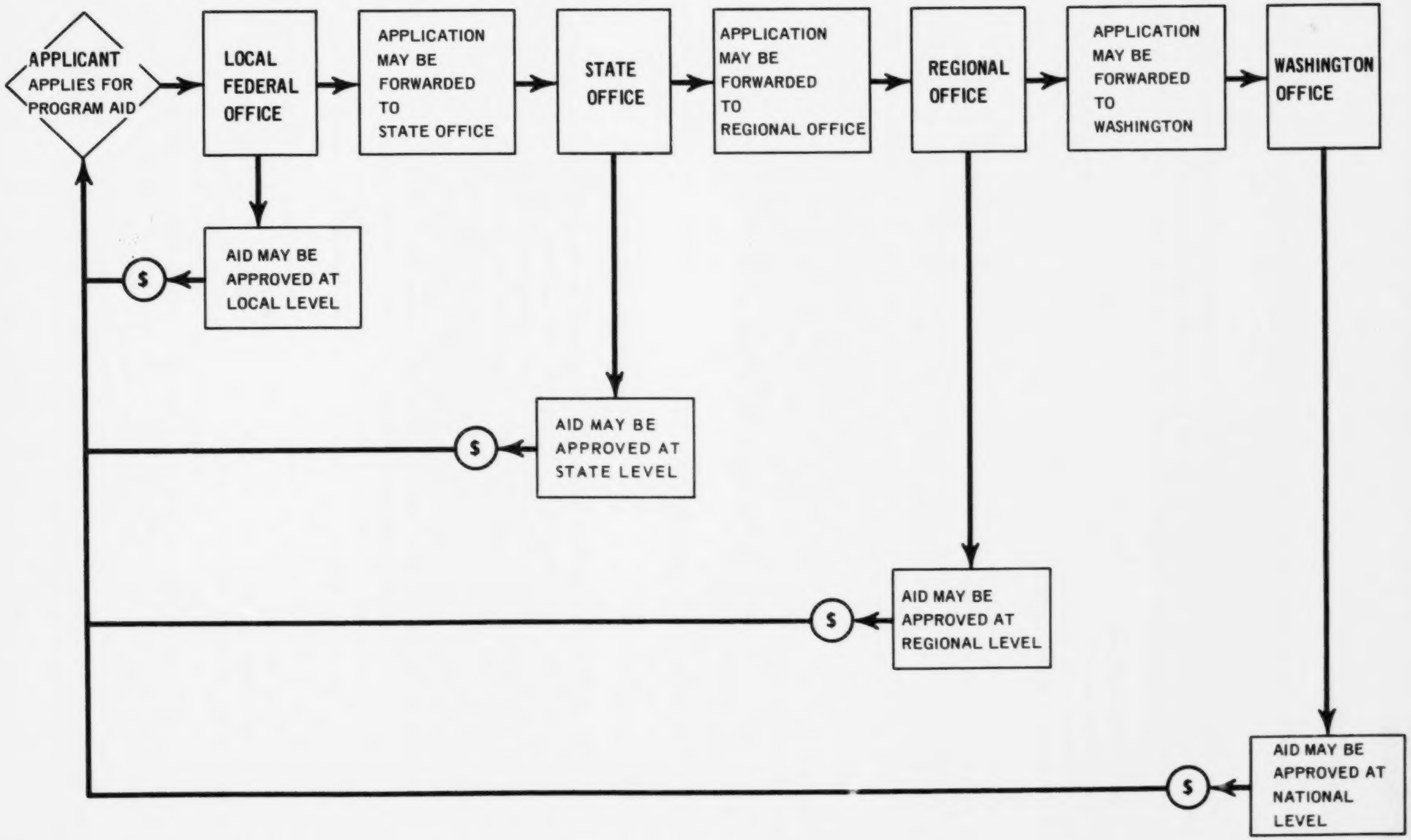
9. Clearinghouse has 30 days to submit formal comments to applicant.

10. Applicant submits application to the funding agency along with all clearinghouse comments and a statement that those comments were considered. Comments generated by the review process may be both positive and negative; thus, the applicant may choose to include a rebuttal to negative comments.

11. The Federal funding agency.

The Federal funding agency considers the application and the comments from the clearinghouses and public agencies and informs the applicant and the clearinghouse of any major action (awards, rejections, deferrals, withdrawals, returns for amendments) taken on the application within seven working days.

# FEDERAL GRANT APPLICATION AND APPROVAL PROCESS


APPLICANT APPLIES FOR PROGRAM AID
LOCAL FEDERAL OFFICE
APPLICATION MAY BE FORWARDED TO STATE OFFICE
STATE OFFICE
APPLICATION MAY BE FORWARDED TO REGIONAL OFFICE
REGIONAL OFFICE
APPLICATION MAY BE FORWARDED TO WASHINGTON
WASHINGTON OFFICE
AID MAY BE APPROVED AT LOCAL LEVEL
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AID MAY BE APPROVED AT STATE LEVEL
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AID MAY BE APPROVED AT REGIONAL LEVEL
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AID MAY BE APPROVED AT NATIONAL LEVEL
$

# SUGGESTIONS FOR PROPOSAL WRITING AND FOLLOWING GRANT APPLICATION PROCEDURES

## I. INTRODUCTION

This section is designed to assist persons and institutions seeking a grant from a Federal assistance program.

The ideas and suggestions in this section are not all-inclusive. They are intended as a general guide. The material applies to most assistance proposals. Applicants should remember that the basic requirements, application forms, information and procedures vary with the Federal agency making the grant award.

The legislative intent and the administrative guidelines of Federal programs (the Authorization section of the Catalog program description) are useful as a starting point in considering if and how a proposal matches the needs of the Federal granting agency. The remaining sections of the Catalog program description further define features of the Federal program.

A telephone call or a letter to the Federal agency contact person (the Information Contacts section of the Catalog program description) can provide invaluable help in the beginning stages of proposal development. The potential applicant should consult the program's information contact person before developing a proposal to determine whether an application should be made, if there is money available, applicable deadlines, and the process used by the agency in accepting applications. It is important to identify any priorities the Federal agency considers significant. Agencies often prepare guidelines for specific programs to assist applicants in proposal development. These guidelines should be requested by the applicant.

Individuals without prior grant writing experience may find it useful to attend a grantsmanship workshop. A workshop can amplify the basic information presented here. Applicants requiring additional readings on grantsmanship and proposal development should consult the references listed at the end of this section and other library resources.

## II. INITIAL PROPOSAL DEVELOPMENT

### A. The Concept Paper

After outlining the idea for a proposal, it is useful to develop a concept paper (preliminary proposal) perhaps one or two pages in length. The paper should attempt, at a minimum, to outline proposed goals, rationale, population to be served, estimate of cost, and expected program achievements. The author periodically should revise the paper as ideas about the proposal or grant requirements of the Federal program change. The paper should be distributed to interested persons and agencies in the community. They can be helpful by providing both review and comment on the proposal contents. Select someone who knows and someone who does not know about the subject matter of the paper. This procedure will serve to provide at least two perspectives on the contents; first, a substantive review of the material, and, second, insight into the clarity of the writing style and gramatical accuracy. Further, a review by someone who has submitted a proposal to the funding source in the past will yield information regarding experience with the agency's proposal preferences. The concept paper may be used later for both clearinghouse review (Notification of Intent), and if necessary, for the proposal summary page of the application which is usually one of the most important pages in the grant package. (Refer to the application kit for details on the development of the proposal summary page.) When developing an idea for a proposal it is important to determine if the idea has been or is now being considered in the applicant's locality or State. A careful check should be made with legislators and area government agencies and related public and private agencies which may have (or have had) grant awards or contracts to do similar work. If a similar program exists (or has existed in the past), the applicant may need to reconsider submitting the proposed project particularly if duplication of effort is perceived. Provided significant differences can be established between the existing and proposed project it may be unwise to pursue Federal assistance. The applicant must strive to select a 'fundable' project which can be supported in view of the local need. Alternatives, in the absence of Federal support, should be pointed out. The influence of the project both during and after the project period should be explained. The consequences of the project as a result of funding should be highlighted.

B. Community Support

Community support for most proposals is essential. Once an outline or concept paper has been developed, look for individuals or groups representing academic, political, professional and lay organizations who may be willing to support the proposal in writing. The type and caliber of community support is critical in the initial and subsequent review phases. Numerous letters of support can be persuasive to a grantor agency. Do not overlook support from local government agencies and public officials. Letters of endorsement detailing exact areas of project sanction and commitment are often requested as part of a proposal to a Federal agency. Several months may be required to develop letters of endorsement since something of value (e.g., buildings, staff, services) is sometimes negotiated between the parties involved. Many agencies require, in writing, affiliation agreements (a mutual agreement to share services between agencies) and building space commitments prior to either grant approval or award. A useful method of generating community support may be to hold meetings with the top decision makers in the community who would be concerned with the subject matter of the proposal. The forum for discussion may include a query into the merits of the proposal, development of a contract of support for the proposal, to generate data in support of the proposal, or development of a strategy to create proposal support from a large number of community groups.

C. Identification of a Funding Resource

A chart is provided in the Introduction (see, How to Use the Catalog) to guide users through Catalog sections and retrieve all pertinent program information available in the Catalog. For new Catalog users this chart may be consulted first for an orientation to the suggested method for identifying Federal financial assistance in the Catalog. A review of the Objectives and Uses and Use Restrictions sections of the Catalog program description can point out which programs might provide funding for an idea. Do not overlook the related programs as potential resources. Both the applicant and the grantor agency should have the same interests, intentions and needs if a proposal is to be considered an acceptable candidate for funding. Once a potential grantor agency is identified, call the contact person/number identified in Information Contacts and ask for a grant application kit. Later get to know some of the grantor agency personnel. Ask for suggestions, criticisms and advice about the proposed project. In many cases the more agency personnel know about the proposal the better the chance of support and of an eventual favorable decision. Sometimes it is useful to send the concept paper to a specific agency official in a separate cover letter, and ask for review and comment at the earliest possible convenience. Always check with the Federal agency to determine its preference if this approach is under consideration. If the review is unfavorable and differences cannot be resolved, ask the examining agency (official) to suggest another department or agency which may be interested in the proposal. A personal visit to the agency's regional office or headquarters is also important. A visit not only establishes face to face contact, but also may bring out some essential details about the proposal or help secure literature and references from the agency's library or clearinghouse. At the outset, applicants whose proposals are subject to OMB Circular No. A-95, Part I, are reminded that contact with Federal agency officials prior to project clearance does not circumvent the A-95 process. Such communication should occur only when specific advice is sought or clarification is required about the contents of the proposal, regulations and/or legislation. Applicants should be aware of and comply with OMB Circular No. A-95 requirements when applicable (see Catalog Introduction).

It may be useful to consider consulting the State Central Information Reception Agency (SCIRA) to learn the types and dollar amounts of programs approved or rejected in the applicant's State. This organization is coordinated through the Governor's office in each State. Federal agencies are required to report funding information as funds are approved, increased or decreased among projects within a given State depending on the type of required reporting (see, Treasury Circular 1082 in the Catalog Introduction). Also, consider reviewing the Federal Budget for the current and budget fiscal years to determine proposed dollar amounts for particular budget functions.

The applicant should carefully study the eligibility requirements for each Federal program under consideration (see the Applicant Eligibility section of the Catalog program description). The applicant may learn he or she is required to provide services otherwise unintended such as a service to particular client groups, or involvement of specific institutions. It may necessitate, in some way, the modification of the original concept in order for the project to be eligible for funding. Questions about eligibility should be discussed with the program officer of the Federal program of interest.

Deadlines for submitting applications are often unnegotiable. They are usually associated with strict timetables for agency review. Some programs have more than one application deadline during the fiscal year. Applicants should plan proposal development around the established deadlines.

The timing used by the applicant in implementing Part II Section A, B and C above depends upon the stage of development of each section. The applicant should carefully balance the knowledge and understanding of each part prior to determining the first step and before proceeding to the formal development of the proposal.

## III. WRITING AND DEVELOPING A PROPOSAL

### A. Gathering Applicant Organizational Data

The applicant should gather data about its organization from all available sources. Most proposals require a description of an applicant's organization to describe its past and present operations. Some features to consider are:

1. A brief biography of board members and/or key staff; and
2. The organization's goals, philosophy, track record with other grantors and any success stories.

The data should be relevant to the goals of the Federal grantor agency and should establish the applicant's credibility.

### B. Problem Statement Development

One of the key elements of a proposal is a clear, concise and well-supported statement of the problem to be addressed. The best way to collect information about the problem is to conduct and document both a formal and informal needs assessment for a program in the target or service area. There is a considerable body of literature on the exact assessment techniques to be used. Any local, regional or State government planning office or local university offering course work in planning and evaluation techniques should be able to provide excellent background references. Types of data that may be collected include: historical, geographic, quantifiable, factual, statistical, unobstrusive and philosophical information as well as studies completed by colleges, and literature searches from a public or university library. Local colleges or universities which have a department or section related to the proposal topic may help determine if there is interest in developing a student or faculty project to conduct a needs assessment. It may be helpful to include examples of the findings for highlight in the proposal. The information provided should be both factual and directly related to the problem addressed by the proposal. Areas to document are:

1. The purpose for developing the proposal;
2. The beneficiaries, who they are and how they will benefit;
3. The social and economic costs to be affected;
4. The nature of the problem (provide as much hard evidence as possible);
5. How the applicant organization came to realize the problem exists, and what is currently being done about the problem.
6. The alternatives when the funding is over. Explain what will happen to the project and the implications;
7. Most important, the specific manner through which problems might be solved. Review the resources needed, how they will be used and to what end.

## IV. ACT OF WRITING

### A. Preorganization

Prior to any formal development of a proposal the applicant should first complete the task of accumulating information, and then begin writing the proposal. The applicant should also have the grant application kit in hand.

One of the first steps in the development of an application is to identify a coordinating person and have this person thoroughly review the application kit. This task is best performed by the person with the major responsibility for the coordination of the proposal development tasks and may or may not be the person who knows the most about the proposal subject area. These are often two different persons. Make an outline of the forms, copy each one and put the originals in a secure file. Use these copies only when ready to type the final draft. Then substitute the filed copies in the application kit. It may be useful to develop a milestone chart (a type of schedule which charts significant events in the development of a proposal over time) to address and identify the implementation dates of the following:

1. Formatting the available information not requiring additional development;
2. Gathering data necessary for development of the proposal and where to get it;
3. Who and when staff will be available to assist with the project;
4. Item—by—item development to the first draft;
5. Schedule for the completion of the second and final drafts to be inspected by the coordinator.

Whenever steps in the milestone chart are delayed it is advisable to immediately negotiate the earliest possible new deadline with the affected parties. Care should be exercised to guarantee that the newly selected date does not throw off the entire project schedule. Most grant proposals will need to be copied four times or more. The original and copies will go to to the Federal grantor agency's program and/or grant office. Other copies may go to to single State agencies, regional and local government officials and board members (if any). If the copying is done internally it may be wise to identify a backup copy machine is case of mechanical failure. This may be critical when working against strict deadlines. Typist should be notified and scheduled in advance if possible. Prepare to commit enough financial resources to producing a proposal. It is difficult to gauge how much money, material and personnel will be needed, but some considerations are: person power (writers, typist, clerks, researchers, statisticians, consultants, etc.), supplies (typewriter, paper, copy machine, postage, binders, pencils and pens, correction fluid, types of stylus apparatus for charts, etc.), office space, a telephone and office equipment.

### B. Getting Organized to Write the Proposal

Throughout the proposal writing stage keep a notebook handy to write down ideas. Periodically, try to connect ideas by reviewing the notebook. Never throw away written ideas during the grant writing stage. Maintain a file labeled 'Ideas' or by some other convenient title and review the ideas from time to time. The file should be easily accessible. The gathering of documents such as articles of incorporation, tax exemption certificates, bylaws, etc., should be completed, if possible, before the writing begins.

### C. A Note on Special Technical Services

States and political subdivisions can obtain technical information services from Federal agencies when preparing proposals. A written request from the chief executive officer (governor, mayor or county executive) is required. Services are provided according to the Federal agency's special capabilities, mission and authorization by law. Assistance may include: statistical or other studies and compilations, development projects, technical tests and evaluations, technical information, training activities, surveys, reports and documents. All services must relate to either current or future needs of the Federal Government. Some form of proof is required to ensure that these services can be procured reasonably and expeditiously by the requesting agency through ordinary business channels. Federal agencies may require considerable time in supplying information. Consider such possible time lags when requesting assistance.

The following information (Sections D, E, F and Parts V and VI) is generally adaptable to all proposals, and will test both creativity and resourcefulness of the applicant.

### D. Developing Program Objectives

Program objectives refer to specific activities in a proposal. It is necessary to identify all objectives related to the goals to be reached, and the methods to be employed to achieve the stated objectives. Consider quantities or things measurable and refer to a problem statement and the outcome of proposed activities when developing a well stated objective. The figures used should be verifiable. Remember, if the proposal is funded, the stated objectives will probably be used to evaluate program progress, so be realistic. There is literature available to help identify and write program objectives.

### E. Writing the Solution — A Program Design

The program design refers to how the project is expected to work and solve the stated problem. Sketch out the following:

1. The activities to occur along with the related resources and staff needed to operate the project (inputs).

2. A flow chart of the organizational features of the project. Describe how the parts interrelate, where personnel will be needed and what they are expected to do. Identify the kinds of facilities, transportation and support services required (throughputs).

3. Explain what will be achieved through 1 and 2 above (outputs); i.e., plan for measurable results. Project staff may be required to produce evidence of program performance through an examination of stated objectives during either a site visit by the Federal grantor agency and or grant reviews which may involve peer review committees.

4. It may be useful to devise a diagram of the program design. For example, draw a three column block. Each column is headed by one of the parts (inputs, throughputs and outputs), and on the left (next to the first column) specific program features should be indentified (i.e., implementation, staffing, procurement, systems development, etc.). In the grid specify something about the program design, for example, assume the first column is labeled inputs and the first row is labeled staff. On the grid one might specify under inputs five nurses to operate a child care unit. The throughput might be to maintain charts, counsel the children, set up daily routine, etc., and outputs might be to discharge 25 healthy children per week. This type of procedure will help to conceptualize both the scope and detail of the project.

5. Wherever possible, justify in the narrative the course of action taken. The most economical method should be used that does not compromise or sacrifice project quality. The financial expenses associated with performance of the project will later become points of negotiation with the Federal program staff. If everything is not carefully justified in writing in the proposal, after negotiation with the Federal grantor agencies, the approved project may resemble less of the original concept. Carefully consider the pressures of the proposed implementation, that is, the time and money needed to acquire each part of the plan. A Program Evaluation and Review Technique (PERT) chart could be useful and supportive in justifying some proposals.

6. Highlight the innovative features of the proposal which could be considered distinct from other proposals under consideration.

6. Whenever possible use appendices to provide details, supplementary data, references, and information requiring indepth analysis. These types of data, although supportive of the proposal, if included in the body of the design, could detract from its readability. Appendices provide the proposal reader with immediate access to details if and when clarification of an idea, sequence or conclusion is required. Time tables, work plans, schedules, activi-

ties, metodologies, legal papers, personal vitae, letters of support, endorsements, etc. are examples of appendices.

### F. Evaluating the Program

Most Federal agencies now require some form of program evaluation among grantees. The requirements of the proposed project should be explored carefully. Evaluations may be conducted by an internal staff member, an evaluation firm or both. The applicant should state the amount of time needed to evaluate, how the feedback will be distributed among the proposed staff, and a schedule for review and comment for this type of communication. Evaluation designs may start at the beginning, middle or end of a project, but the applicant should specify a start-up time. It is practical to submit an evaluation design at the start of a project for two reasons:

1. Convincing evaluations require the collection of appropriate data before and during program operations; and,

2. If the evaluation design cannot be prepared at the outset then a critical review of the program design may be advisable.

Even if the evaluation design has to be revised as the project progresses, it is much easier and cheaper to modify a good design. If the problem is not well defined and carefully analyzed for cause/effect relationships then a good evaluation design may be difficult to achieve. Sometimes a pilot study is needed to begin the identification of facts and relationships. Often a thorough literature search may be sufficient.

Evaluation requires both coordination and agreement among program decision makers (if known). Above all, the Federal grantor agency's requirements should be highlighted in the evaluation design. Also, Federal grantor agencies may require specific evaluation techniques such as designated data formats (an existing information collection system) or they may offer financial inducements for voluntary participation in a national evaluation study. The applicant should ask specifically about these points. Also, consult the Criteria For Funding Proposals section of the Catalog program description to determine the exact evaluation methods to be required for the program if funded.

## V. BUDGET FORMULATION

### A. Planning the Budget

Funding levels in Federal assistance programs change yearly. It is useful to review the appropriations over the past several years to try to project future funding levels (see Financial Information section of the Catalog program description).

However, it is safer to never anticipate that the income from the grant will be the sole support for the project. This consideration should be given to the overall budget requirements, and in particular, to budget line items most subject to inflationary pressures. Restraint is important in determining inflationary cost projections (avoid padding budget line items), but attempt to anticipate possible future increases. Some vulnerable budget areas are: utilities, rental of buildings and equipment, salary increases, food, telephones, insurance and tranportation. Budget adjustments are sometimes made after the grant award, but this can be a lengthy process. Be certain that implementation, continuation and phasedown costs can be met. Consider costs associated with leases, evaluation systems, hard/soft match requirements, audits, development, implementation and maintenance of information systems and accounting systems and other long-term financial commitments.

A well prepared budget justifies all expenses and is consistent with the proposal narrative. Some areas in need of an evaluation for consistency are: the salaries in the proposal in relation to those of the applicant organization should be similar; if new staff are being hired additional space and equipment should be considered, if necessary; if the budget calls for an equipment purchase it should be the type allowed by the grantor agency; if additional space is rented the increase in insurance should be supported; if an indirect cost rate applies to the proposal the division between direct and indirect costs should not be in conflict, and the aggregate budget totals should refer directly to the approved formula; if matching costs are required the contributions to the matching fund should be taken out of the budget unless otherwise specified in the application instructions.

It is very important to become familiar with Government-wide circular requirements. The Catalog identifies in the program description section the particular circulars applicable to a Federal program, and summarizes circular requirements in Appendix I. The applicant should thoroughly review the appropriate circulars since they are essential in determining items such as cost principles and conforming with Government guidelines for Federal domestic assistance.

## VI. REVIEW

### A. Criticism

At some point, perhaps after the first or second draft is completed, seek out a neutral third party to review the proposal working draft for continuity, clarity and reasoning. Ask for constructive criticism at this point, rather than wait for the Federal grantor agency to volunteer this information during the review cycle. For example, has the writer made unsupported assumptions or used jargon or excessive language in the proposal?

### B. Signature

Most proposals are made to institutions rather than individuals. Often signatures of chief administrative officials is required. Check to make sure they are included in the proposal where appropriate.

### C. Neatness

Proposals should be typed, collated, copied and packaged correctly and neatly(according to agency instructions, if any). Each package should be inspected to ensure uniformity from cover to cover. Binding may require either clamps or hard covers. Check with the Federal agency to determine its preference. A neat, organized and attractive proposal package can leave a positive impression with the reader about the proposal contents.

### C. Mailing

A cover letter should always accompany a proposal. Standard U.S. Postal Service requirements apply unless otherwise indicated by the Federal agency. Make sure there is enough time for the proposals to reach their destinations. Otherwise, special arrangements may be necessary. Always coordinate such arrangements with the Federal grantor agency project office (the agency which will ultimately have the responsibility for the project), the grant office (the agency which will coordinate the grant review) and the contract office if necessary (the agency responsible for disbursement, grant award notices, etc.).

## VII. ADDITIONAL SOURCES OF INFORMATION

Below are resources for more detail about grants and grantwriting. There are several very good private resources available which can be identified by consulting a public library.

### A. Research Tools

### THE FEDERAL REGISTER

The Federal Register, published daily, is the medium for making available to the public Federal agency regulations and other legal documents of the Executive Branch. These documents cover a wide range of Government activities. Here, Government requirements are published which involve environmental protection, consumer product safety, food and drug standards, occupational health and safety, and many more areas of concern to the public.

Perhaps more importantly, the Federal Register includes proposed changes in regulated areas. Each proposed change published carries an invitation for any citizen or group to participate in the consideration of the proposed regulation through the submission of written data, views, or arguments, and sometimes by oral presentations. Through the publication of proposed rules and notices of public meetings, citizens are given the opportunity to be informed about and participate in the workings of their Government.

The Federal Register Index is based on a consolidation of entries appearing in the issues of the Federal Register together with broad references. It is published monthly and is cumulated for 12 months. All Federal Register publications are available for purchase from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

## THE CODE OF FEDERAL REGULATIONS

The Code of Federal Regulations (CFR) is a codification of the general and permanent rules published in the Federal Register by executive departments and agencies of the Federal Government. It includes all statutory regulations of Federal agencies, and is divided into 50 titles which represent broad subject areas of Federal regulations (e.g., Housing and Urban Development, Public Health, Public Welfare, or Transportation). Each title is divided into chapters which usually bear the name of the issuing agency. Each chapter is further subdivided into parts covering specific regulatory areas. The number preceding the CFR citation is the title or volume number. The CFR is kept up-to-date by the individual issues of the Federal Register, these two publications must be used together to determine the latest version of any given rule. Individual volumes of the CFR are revised at least once each calendar year and issued on a staggered quarterly basis. The CFR thus serves as a convenient reference for the citizen desiring a comprehensive source for general and permanent Federal regulations.

A General index to the entire Code of Federal Regulations, the CFR Index, is revised as of July 1 each year. The numerical Finding Aids, a cumulative list of CFR Sections affected is publised monthly and is cumulated for 12 months, keyed to the revision dates of the various CFR volumes.

The Federal Register and the Code of Federal Regulations are available in Federal depository libraries and most major libraries or Federal bookstores. Individual copies may be purchased from the Government Printing Office.

## THE FEDERAL BUDGET

The following four budget documents are briefly described below: The Budget of the U.S. Government, the Budget Appendix, The Budget in Brief, and the Special Analyses of the Budget.

The Budget provides information on the President's budget proposals, ongoing programs, the budget system and summary tables on the budget. For program identification, the last three digits of the identification code in the Financial Information section of the program description in the Catalog is the functional code. The codes and functions are contained in the back section of the Budget (Budget Outlays by Function).

The Appendix provides detailed information on Federal programs, and identifies specific amounts (as shown in the budget) for each existing or proposed program. Supplemental proposals and amendments for the current year are also identified.

The Budget in Brief is designed for use by the general public. This document is a less technical overview of the budget, and provides graphic displays, a summary and historical tables on the Federal budget.

The Special Analyses, Budget of the U.S. Government contains analyses that are designed to highlight specific program areas or provide other significant presentations of Federal budget data.

The budget documents are available for purchase from the Government Printing Office.

## STATE CENTRAL INFORMATION RECEPTION AGENCIES

A State Central Information Reception Agency (SCIRA) is an office or unit of State government designated by the Governor to receive notification of grant awards issued under the provisions of Treasury Circular 1082. Federal agencies are required to notify the appropriate SCIRA in each State of Federal financial assistance awarded and subsequent related transactions including changes in the value or duration of a grant. For basic reporting (grants awarded to States or political subdivisions), Federal agencies submit a Report of Federal Action to the appropriate SCIRA using SF 424. Supplemental reporting (all other Federal assistance to any recipient) is submitted to the SCIRA using individual agency procedures. (See Appendix I of the Catalog for programs designated as basic or supplemental.) The SCIRA in each State is set up primarily to serve the Governor and the legislature. The extent to which it is equipped to serve others such as local governments or the general public varies from State to State.

B. Information Sources

United States Government Manual
Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402

OMB Circular Nos. A-21, A-87, A-95
(Parts I and III), A-102, A-110,
and A-111.
Publications Office
Office of Administration
726 Jackson Place, N.W., Room G-236
Washington, D.C. 20503

Treasury Circular 1082
Department of Treasury
Budget and Program Analysis, Room 2449
Washington, D.C. 20220

The Federal Granting System: A Guide for Local Governments in Massachusetts
Bulletin Center
Cottage A
Thatcher Way
University of Massachusetts
Amherst, Massachusetts 01003

Guide for the Preparation of Proposals for the Prefreshman and Cooperative
Education for Minorities in Engineering (Preface) Program
Department of Energy
Washington, D.C. 20545

Guide for the Submission of Unsolicited Research and Development Proposals
Department of the Interior, Office of Research and Development
Washington, D.C. 20240

Guide for the Submission of Research and Development Proposals by Individuals
and Organizations Other than Educational Institutions
Department of Energy
Washington, D.C. 20545

# THE LEGISLATIVE PROCESS AND EXECUTIVE ACTION REGARDING FEDERAL PROGRAMS

## I. INTRODUCTION

The authorizing legislation for a Federal program may originate through one or more of the following: a public interest group, a congresswoman, a congressman, a senator, the President, a Federal agency, a private citizen, and so on. Legislation can be introduced only in either the Senate or the House of Representatives. Before a program can become a fully funded and operational reality it must successfully pass through the legislative process. The BILL is the principal mechanism by which legislation is introduced in the Legislative Branch. Bills may be drafted for general, special, public or private purposes. They are prefixed with 'HR' in the House, 'S' in the Senate, and are followed by a number which is in sequence of the order of introduction. Each bill must pass both houses of the Congress in identical form before it can be presented to the President. Most bills never successfully negotiate the legislative process. In fact, recent history indicates that out of the thousands of bills presented in each Congress roughly 800 to 900 are signed into law.

The description below will provide some insight into the process of creating and maintaining a Federal program from a legislative perspective. The end of the list will present additional sources for indepth study of the vast number of variations and exceptions to this process. Also, the material can be used to identify resources for the study of the legislative history behind a Federal program. This type of information may be helpful when preparing a grant application to a Federal program. Here, the effort will be only to present a general overview of the process.

## II. LEGISLATIVE OVERVIEW

### A. Drafting and Submitting Proposed Legislation

Before a bill is introduced it must first be properly drafted. Proposed legislation is usually drafted by professional congressional staff well trained in that art. Their task is to prepare bills for presentation to the Congress with the appropriate legislative language and format. Sometimes the legislative initiative will commence in the Executive Branch where drafting may occur. Regardless of the point of origin, a potential sponsor must be identified from among the 535 members of the Congress. Upon identification of a sponsor, COMMITTEE PRINTS are prepared as a draft of a bill (a Federal program in this case), public hearings may be conducted (however, they are almost always conducted after a bill is introduced) and research may be done all before the bill is introduced and first recorded in the CONGRESSIONAL RECORD. This document contains the proceedings of the House and the Senate, and is used to express the bill's intent. Soon thereafter the action is announced in press releases, newsletters, trade journals and newspapers, etc.

Once introduced, those interested in following the progress of a a bill may want to refer to the following publications: THE CONGRESSIONAL DIGEST, THE DIGEST OF PUBLIC GENERAL BILLS, THE CONGRESSIONAL RECORD, and the many private sector references concerned with the actions of the Congress (contact the state or local public library for details).

A bill originating in either House (or chamber) will tend to undergo roughly the same procedures, although not in the same sequence. For example, the Calendar of Business in the Senate relates directly to the order of business while in the House of Representatives the House Calendar does not. There is a system of rules and privileges which drives the order of business as reflected in the House Calendar. The example below assumes a bill (to create a Federal program) originated in the Senate.

### B. Referral and Committee Consideration

The bill will be referred by the Presiding Officer of the Senate to the appropriate standing committee with jurisdiction over the subject matter of the bill. A committee may combine similar bills adding the 'best' features of each. Each bill will be entered on the committee's Calendar of Business.

This is the point in the legislative process when bills are most closely scrutinized by either chamber of the Congress. During the committee process bills are often 'killed', that is, a committee has failed to act on a bill.

A committee may refer its pending bills to any of its subcommittees for study and report. There may be hearings on controversial or major legislation before the final form is drafted and reported to the Senate. Recommendations of the Executive Branch agencies in conjunction with OMB are sought by the committees, but these views need not be accepted. The Full Committee may report the bill favorably, adversely, with or without amendments or it may report nothing. The original committee referral may provide for joint referral (that is, simultaneous referral to more than one committee) or sequential referrals. The 'mark up' is the process by which a committee revises the language of sections of a bill. Extensive 'mark up' usually results in the compiling of a new 'Clean Bill' by the committee chairman. The new bill is assigned a number, and sent to the floor for consideration. Otherwise, the committee chairman usually reports the bill which is then placed on the Senate Calendar of Business (the Senate's only calendar for legislative matters). A COMMITTEE REPORT is distributed for review by the Senators.

### C. Senate Consideration of the Bill

Usually, the bills are passed by a call of the Calendar, a motion or a unanimous consent procedure. Bills may be opened for debate which is limited to five minutes for each Senator. Normally the participating members of the Senate will present amendments to the bills. There are numerous special procedures which serve to limit debate, control the amendatory process, etc. Once the committee and floor amendments have been considered, the bill is engrossed (passed) and the amendatory process ends. Most bills are passed by voice vote in the Senate. Once the amendments are accepted, a vote is taken on final passage. If passed it is sent to the House of Representatives. The CONGRESSIONAL RECORD will contain these proceedings. Technically, after a bill is passed by one of the chambers it becomes an Act. However, it will be referred to as a bill, and it does not yet have the effect of a law. If a bill contains a motion to reconsider a Senate vote the bill cannot be sent to the House.

### D. Agreement of the House

The bill is introduced in the House and the above process begins again. There will be committee and subcommittee referrals, debate and voting, etc. If no amendments are offered the bill will probably pass. If not, the bill may be referred again to the originating committee. The House uses five legislative calendars. The Union Calendar contains bills which raise revenue. It also reflects appropriation bills. Other calendars are the Consent Calendar, the Discharge Calendar, the House Calendar and the Private Calendar. The Calendars of the United States House of Representatives and History of Legislation contain the cumulation of these five calendars. When a bill passes both chambers it is ready for referral to the White House.

Throughout this process bills are designated in accordance with the type of action taken. The most common bill is 'H.R.', House of Representatives or 'S.', Senate. Resolutions are far less frequent. Joint resolutions (passed in both chambers in identical form) are designated 'S.J. Res.' in the Senate and 'H.J. Res.' in the House. Concurrent resolutions (passed by either chamber, neither a law nor signed by the President) are used to create a joint committee or to express the sense of the Congress. These resolutions do not become law. They are designated 'S.Con.Res.' in the Senate and 'H.Con.Res.' in the House. They must be passed by both chambers to become effective. A House or Senate resolution, designated 'H.Res.' or 'S.Res.', has the force of the House passing it and is used to express the sense of that body. The action of either chamber is all that is necessary to bring about action for a variety of purposes, usually relating to internal administration of the House. The House may amend the Senate bill. The amendments must be considered by the Senate if this happens. The procedure is accomplished by one or more conferences which must be requested and must be agreed to by the other chamber. The bill dies if there is no agreement between the chambers. The goal is to achieve concurrence with the House, and to produce bills in identical form. There may be a number of messages transmitted between the two chambers in the form of proposed amendments. Usually the second chamber (here, the House of Representatives) makes only minor changes. Bills can die in conference even when approved by its sponsoring chamber. This is the result when there is the lack of agreement on a disputed amendment. CONFERENCE REPORTS contain the statements and the amendments of each chamber. When both chambers reach complete agreement the bill is enrolled (printed in final form). Finally, both the Speaker of the House and the Vice President of the United States (also President of the Senate) sign the bill before presentment to the President of the United States. Readers interested in detail about the process of consideration and referral in both chambers should review literature on debating, voting and conference procedures.

### E. Referral of the Bill to the President

At this point, the President has 10 days, excluding Sundays, to act on the bill, and four options for action. The President may sign the bill within 10 days and it becomes law. The President may veto the bill within 10 days and return it to the originating chamber with objections (a veto message). The President may take no action in 10 days, and the bill becomes a law. He may pocket veto the bill if Congress has adjourned. If he vetoes the bill the Congress may attempt to override the veto, and, if they are successful, the bill becomes a law and a new Federal program is created. Otherwise, the bill dies. Note that the program is only authorized to exist at this point in the legislative process. It must also have an appropriation act before it can be implemented. Any amendment of a bill signed by the President can only be made by the passage of another bill which must go through the process again.

### F. U.S. Code and the Federal Register

Congress delegates the authority for rulemaking to agencies in the Executive Branch. In accordance with the Administrative Procedures Act (5 U.S.C. 55 et. seq.) and the Federal Register Act (44 U.S.C. Ch. 15) the agency must prepare an announcement of the Federal program in the Federal Register. The agency will draft rules which propose implementation of the program. An Advanced Notice of Proposed Rule Making (ANPRM) serves to notify the public of the action taken. A 'slip law' is used to announce the legislation. The 'slip laws' are compiled annually in a volume known as U.S. Statutes At Large. It is further codified in the United States Code. The Code of Federal Regulations (CFR) is published every six years, but annual supplements are issued. The CFR is arranged by subject matter.

### G. Authorization and Appropriation

Before a staff can be hired and funds obligated, an appropriation act must be offered. Authorization and appropriation acts must be done separately. One is not necessarily dependent upon the other although usually the authorization act is offered first.

## IV. Tracking the Congressional Activity

### A. Resources

There are many sources of public information which can be requested from the Government Printing Office to track the progress of a bill through a Congress. Major sources are:

1. Committee Hearings-These are transcripts of the oral and written testimony, statistical data and correspondence. They are available for public inspection in the committee offices. Each report is identified by its date, subject matter and references made to it in other committee hearings.

2. Committee Prints-These are reports of the committee staff research, oversight hearings, drafts of bills, legislative summaries, comparisons with proposed but related legislation, bibliographies and compilations of related laws. Copies are usually available from the Committee for which they were prepared.

3. Comparative Conference Committee Prints-These are the Senate and the House versions of the bill sent to the conference committee. They are unnumbered and copies may be requested from the committee with jurisdiction.

4. Committee Reports-These reports reflect the committee's recommendation to its chamber on the bill. If the committee does not favor the bill a report is not made. The purpose and scope of the bill and the arguments for its passage are outlined. Dissenting, minority, supplemental or additional views and Congressional Budget Office data are also included. The reports are numbered sequentially and designated 'S. Rept.'(Senate Report) or 'H.

Rept.'(House Report). Copies may be requested from the Senate and House Document rooms.

5. Conference Reports-These reports reflect conference committee reconciliation of the differences passed by both chambers. Copies may be requested from the House and Senate Document Rooms.

6. Slip Laws-These documents are published by the General Services Administration, and it is the first publication when a bill becomes a law. A public law number is assigned and the document is added to the United States Statutes at Large. Margin notes, United States Code classifications and approval dates are also indicated. Copies can be requested from the House and Senate Document Rooms.

7. United States Statutes at Large-This is a collection of slip laws produced by the Office of the Federal Register. They reflect the laws enacted during a Congress.

8. Code of Federal Regulations-Fifty titles reside in this document identifying the permanent laws of the United States. Each title (reflecting the subject area) contains one or more chapters (the name of the issuing agency). The chapters are divided into parts (specific subject areas), and each part contains sections (the detail). Most public libraries maintain copies of the United States Codes. It is prepared by the Law Revision Counsel of the House of Representatives.

9. Federal Register-This publication is available to the public through the Office of the Federal Register, National Archives and Records Service. It is published Monday through Friday and contains the text of Presidential proclamations, rules, Executive orders, regulations (proposed and final), and notices. Individual copies may be requested if the date of publication is known. Subscriptions are also available upon request.

10. Congressional Record-This document is a cumulative daily record of the Senate and House floor proceedings. It contains conference reports, extensions of remarks, the numbers and short titles of bills with a statement of their background and purpose, floor speeches and an index, and highlights and summarizes the body of the text in the back of the document.

11. Copies of bills as introduced, reported and passed can be requested from the House or Senate Document Rooms, GPO or through a Congressional District office.

12. Congressional Calender-This doucument is published each day Congress is in session. It lists both House and Senate bills as reported and the history of major steps in the legislative process. It can be used as a reference document when either the public law or bill number is known. A subject index is published on the first day of the week in which Congress is in session.

13. Weekly Compilation of Presidential Documents-These documents contain the word-for-word communications of the President including speeches, executive orders, bill signing proceedings, appointments of government staff, public statements and press conferences.

14. Digest of Public General Bills and Resolutions-Lists all public bills introduced in Congress, and is indexed by subject and bill number.

## IV. Executive Branch Action

### A. Reporting and Implementation

The Catalog contains most of the current Federal domestic assistance programs available through the Federal government with the exception of Federal procurement-type operations. An announcement of a Federal program in the Federal Register does not necessarily indicate the availability of Federal funds unless expressly indicated. A description of the program will appear in the Catalog only if the program is in operation, and is usually preceded by an announcement in the Federal Register. Some of the programs in the Catalog will have funds only for continuation programs, and can make no new awards. This condition is sometimes announced in the Federal Register.

There are Federal programs which exist only on paper. That is, they have been announced as authorized but have no funds to expend (an appropriation has not been enacted) or possibly no Federal agency staff assigned. Agency action usually follows at some time after the Congressional appropriation is made for the program. The agency then submits an announcement to the FEDERAL REGISTER. The first announcement of a Federal program will be in the form of a NOTICE OF PROPOSED RULE MAKING (NPRM). This notice will announce guidelines for the program (i.e., how to apply, who will benefit, criteria for selecting applicants, the amount of funds available and a notice of public hearings). These data will have been outlined in the Public Law. The name of the program usually is based upon the language in the Public Law. A 60 day comment period exists from the date of publication. The Federal agency will then submit material to the FEDERAL REGISTER in the form of a NOTICE OF FINAL RULE MAKING (NFRM). This notice includes all comments from the public comment period, and any other adjustments made since the NPRM.

At this point the Federal program normally will have been implemented by the Federal agency, and a description of the program will have been submitted to the Office of Management and Budget, Executive Office of the President for inclusion in the Catalog. The program will be included in the next publication cycle, and will be retained with an assigned program number until : 1. it is unable to obligate funds for two consecutive fiscal years, or 2. it undergoes reorganization within an agency, or 3. it is transferred to another agency and the program number is changed to reflect the agency administering the program, or 4. the authorization expires and there is no continuing resolution offered for the program.

### B. Program Maintenance

Federal programs are funded through budget authority (BA). BA is authority provided by law to enter into obligations that will result in immediate or future outlays involving Government funds. It is generally provided through appropriation acts, but in some cases the authorizing legislation itself provides BA. BA consists of appropriations, contract authority, authority to borrow and reappropriations. It is available the first day after the appropriation act, or for a past year, or for a future year, and the appropriation act may specify that all or part of an appropriation is to be immediately available. An appropriation act may authorize advance funding in which the BA for the fiscal year in which obligated is increased and reduced in the succeeding fiscal year. An appropriation act may authorize forward funding in which the amount appropriated is unavailable until late in the year, and the BA is reported for the year in which the appropriation is made. BA can be either current or permanent. If it is current, action is required by Congress after transmittal of the budget for the year involved. Permanent BA becomes available without current action by Congress as a result of previously enacted legislation. BA may be definite in which the amount to become available is stated as a specific sum or up to a specific figure or as a portion of the appropriation available under certain conditions (i.e., matching funds availability). Indefinite BA is an amount that is not specifically stated in the appropriations act and includes the authority to borrow and contract authority. The enactment of an appropriation can take several forms. One-year authority indicates that the program is available for obligation only during a specified fiscal year and then expires. Multiple-year authority indicates that obligation of funds can be made for a period in excess of one fiscal year. Very few programs are funded in this way, and the mechanism is not encouraged for use with most Federal programs. No-year authority indicates the Federal program remains available for obligation for an indefinite period of time. Usually the program will expire only when the intended objectives have been reached by the program.

If a Federal program is scheduled to expire the Congress may enact legislation known as a continuing resolution. These are in effect when the regular appropriation for a program has not been enacted by the close of the preceding fiscal year. The Congress provides for the interim financing of current activities through this action. Continuing resolutions allow the obligation of funds by a program at a specified rate pending enactment of a regular appropriation.

Funding of the program may be influenced in other ways. The President may propose a rescission of budget authority previously provided by Congress. Rescissions result from Congressional action to withdraw budget authority that would otherwise become available, or continue to be available. The proposal may be accepted in whole or in part through the passage of a rescission bill by both chambers of Congress.

The Congress has 45 days of continuous session after receipt of the proposal to act. If they take no action the funds must be obligated. The President may also submit a proposal for deferral of budget authority. The proposal may not extend beyond the end of the current fiscal year when the proposal is submitted. The Congress may overturn the proposal by the passage of an impoundment resolution by either chamber. A supplemental appropriation may be requested by a Federal agency. These are funds in addition to those specified in the annual appropriation for the program. Supplemental funds are requested to supply the need for funds which is too urgent to be postponed until enactment of the next regular appropriation act.

The agency action taken to change a Federal program due to legislative action, administrative rule and/or evaluation results is likely to cause some modification to the Code of Federal Regulations. If so, the agency is required to submit a NOTICE to the Federal Register. The notice amends the CFR. This action may include new funding, a loss of funds, revised application deadlines, revised selection criteria, etc. The notice may also include announcements of hearings and investigations, committee meetings, filing of petitions, revocation of licenses, and so on which may be of interest to current and potential applicants. Whenever the Notice concerns a Federal domestic assistance program the agencies are required to include the Catalog program number in the text of the announcement, and whether it is applicable to OMB Circular No. A-95, Part I or Part III.

V. Information Resources for Legislative Research and Inquiry

A. General Congressional Telephone Resources:

Senate Document Room - Telephone: (202) 224-4321 House Document Room - Telephone: (202) 225-3456 Government Printing Office Order Desk - Telephone: (202) 783-3238 Federal Register Inquiry Desk - Telephone: (202) 523-5240

Government Printing Office (GPO) Resources:

The government documents identified above as available from the GPO can be requested (supply the necessary identifying information) by writing to: Government Printing Office, Superintendent of Documents, Washington, DC 20402. Additional resources available from GPO are:

House and Senate Calendars (Monday edition only), How Our Laws Are Made, Digest of Public General Bills and Resolutions, United States Government Manual, Budget of the United States Government, Monthly Catalog of United States Government Publications.

Stock numbers and prices of these publications can be obtained by calling or writing the GPO. To order or inquire about congressional documents from GPO call Telephone: (202) 275-3030. To order or inquire about all other government publications call Telephone: (202) 783-3238.

B. Federal Register Resources: Statistical Abstract of the United States, Weekly Compilation of Presidential Documents, Federal Register, The Federal Register: What It Is and How To Use It.

C. Regional and Federal Depository Libraries

Regional libraries can arrange for copies of government documents through an interlibrary loan. A list of depository and regional libraries is available by writing: Chief, Library Division, Superintendent of Documents, Stop SLL, Washington, DC 20402.

Other Resources-Copies of the documents identified above and many private sector publications devoted exclusively to the codification, analysis and dissemination of legislative information at most law libraries and through State government libraries.

# FEDERAL AGENCY SUMMARY

*The following is a summary description of the functions and activities of Federal agencies responsible for administering programs listed in the Catalog. The programs (numbers) are also listed with the administering agency.*

## DEPARTMENT OF AGRICULTURE

**Agriculture Research Service (10.001)** -- Conducts research to develop new knowledge and technology to ensure an abundance of high quality agricultural commodities and products at reasonable prices to meet the increasing needs of an expanding economy and to provide for the continued improvement in the standard of living of all Americans. It conducts basic, applied, and developmental research on animal and plant production; use and improvement of soil, water, and air; processing, storage, distribution, food safety, and consumer services; and human nutrition research.

**Animal and Plant Health Inspection Service (APHIS) (10.025)** -- Conducts regulatory and control programs to protect and improve animal and plant health for the benefit of man and the environment.

**Agricultural Stabilization and Conservation Service (ASCS) (10.051-10.068)** -- Administers specified commodity and related land use programs designed for voluntary production adjustment, resource protection, and price, market, and farm income stabilization.

**Agricultural Marketing Service (AMS) (10.153-10.165)** -- Administers standardization, grading, voluntary and mandatory inspection, market news, marketing orders, regulatory, and related programs.

**Cooperative State Research Service (10.200-10.208)** -- Participates in a nationwide system of agricultural research program planning and coordination between the States and the Department of Agriculture to encourage and assist in the establishment and maintenance of cooperation within and among the States and between the States and their Federal research partners. The primary function is to administer the Acts of Congress that authorize Federal appropriations for agricultural research carried on by the State agricultural experiment stations of the 50 States, Puerto Rico, Guam, the Virgin Islands, the District of Columbia, American Samoa, and Micronesia; by approved schools of forestry; the 1980 land-grant institutions and Tuskegee Institute; colleges of veterinary medicine; and other eligible institutions.

**Economic Research Service (10.250)** -- Economic analysis and research is composed of research on the economic functioning and performance of the food and fiber industry from the farm to the consumer, and analysis of major developments and trends. Specific topics treated include: commodity analysis; farm sector economics; food system research; farm income, productivity, cost of production, and price spreads; food prices; and agricultural and food policies. The activity in international agriculture involves: world demand and supply forecasting; foreign agricultural, economic, and trade policies; and country and region situation and outlook, analysis, and research. The natural resources research covers: landownership and use; energy development impacts; water use and conservation; resource planning; pesticide regulation and management; and water quality and institutions. The rural development program encompasses: demographic research; farm work force and rural labor markets; rural health, education, and housing; State and local government services to rural communities; and rural credit.

**Agricultural Cooperative Service (10.350)** -- Serves as the focal point of national activity involving agricultural cooperatives. The purpose of ACS is to help farmers help themselves by providing the assistance necessary to support and improve existing cooperatives and to help farmers organize new cooperatives. The studies conducted by ACS (some through joint Federal/State efforts) are intended to provide farmers with information on financial, organizational, legal, social and economic aspects of cooperative activity. In today's rapidly changing economic environment, ACS provides technical advice to assist farmer cooperatives in the development and operation of viable, profitable organizations serving the nation's small farmers.

**Human Nutrition Information Service (10.375)** -- Provides funds for grants and contracts to universities and nonprofit organizations and institutions to perform analysis and research work in support of the Nationwide Food Consumption Survey.

**Farmers Home Administration (FmHA) (10.404-10.431)** -- Provides credit for farm and non-farm enterprises for those rural Americans who are unable to obtain credit from other sources at reasonable rates and terms.

**Federal Crop Insurance Corporation (10.450)** -- Promotes the general welfare and strengthens the financial position of farmers and the community by providing crop insurance against loss from unavoidable causes, such as weather, insects, and disease.

**Food Safety and Inspection Service (10.475-10.477)** -- Assures that meat and poultry products moving in interstate and foreign commerce are safe, wholesome, unadulterated and honestly and informatively labeled, as required by the Federal Meat Inspection Act and the Poultry Products Inspection Act. The Meat and Poultry Inspection Program provides continuous inplant inspection of all domestic plants preparing meat and poultry products for sale or distribution in commerce; reviews inspection systems in foreign establishments that prepare meat or poultry products for export to the United States; and provides technical and financial assistance to States which maintain meat and poultry inspection programs equal to Federal inspection.

**Extension Service (10.500)** -- Coordinates and provides administrative, technical, and other services to a nationwide Cooperative Extension System, in partnership with State and local governments and the private sector. The primary function of this system is to take the research findings of the Department of Agriculture, the State Land-Grant Colleges and programs administered by the Department of Agriculture, and to develop and deliver informal, out-of-school educational programs. These programs communicate and demonstrate to people how they can apply research findings to identify and solve farm, home, and community problems. This work is carried out through extension offices in each State, Puerto Rico, Guam, the Virgin Islands, the District of Columbia, American Samoa, and Micronesia.

**Food and Nutrition Service (FNS) (10.550-10.565)** -- Administers programs to make food assistance available to people who need it. These programs are operated in cooperation with State and local governments.

**Forest Service (10.652-10.669)** -- Promotes and achieves a pattern of natural resource uses that will best meet the needs of people now and in the future; generation of forestry opportunities to accelerate rural community growth; protection and improvement of the quality of air, water, natural beauty, and open space environment in urban and community areas; encouragement of growth and development of forestry-based enterprises and optimum forest land ownership patterns; expansion of environment conservation; involvement of the public in forestry policy and program formulation.

**National Agricultural Library (10.700)** - Disseminates useful information about agricultural and other related sciences to scientists and researchers, administrators and managers, farmers, and to the general public; provides library services, such as bibliographies, reference services and document delivery.

**Packers and Stockyard Administration (10.800)** -- Data to be included in next Catalog update. reorganization; data to be included in next basic Catalog.

**Rural Electrification Administration (REA) (10.850-10.852)** -- Finances electric and telephone facilities in rural areas of the United States and its territories by providing, through self-liquidating loans and technical assistance, adequate and dependable electric and telephone service to rural people under rates and conditions that permit full and productive use of these utility services.

**Soil Conservation Service (SCS) (10.900-10.910)** -- Develops and carries out a national soil and water conservation program in cooperation with landowners, operators and other land users and developers, community planning agencies and regional resource groups, Federal, State, and local government agencies; also assists in agricultural pollution control, environmental improvement, and rural community development.

**Statistical Reporting Service (10.950)** -- Crop and livestock estimates involve collecting, analyzing, and publishing agricultural production and marketing data, including: number of farms and acreage in farms; crop acreage, yields, production, stocks, value, and utilization; inventories and production of livestock, poultry, eggs, and dairy products; prices received by farmers for products, prices paid for commodities and services for living and production, and related indexes; farm employment and wage rates; cold storage supplies; and other relevant aspects of the agricultural economy. Estimates for about 150 crops and 50 livestock items are published in about 500 Federal and 10,000 State-Federal reports each year. All information is made available to the news media and the public at scheduled release times. Statistical research and service is directed toward improving crop and livestock estimating techniques. Considerable emphasis is placed on improving sample survey designs as well as testing new forecasting and estimating techniques, such as using satellite data. Also included here are the review, coordination, and monitoring of the surveys conducted by the U.S. Department of Agriculture, and the review of all proposed statistical forms and survey plans prior to submittal to the Office of Management and Budget for clearance.

## DEPARTMENT OF COMMERCE

**Bureau of the Census (11.001-11.006)** -- Conducts decennial censuses of population and housing; a mid-decade census of population to be taken initially in 1985 and every 10 years thereafter; quienquennial censuses of agriculture, State and local governments, manufacturers, mineral industries, distributive trades, construction industries, and transportation; current surveys which provide information on many of the subjects covered in the censuses at weekly, monthly, quarterly, annual, or other intervals; compilation of current statistics on U.S. foreign trade, including data on imports, exports, and shipping; conducts special censuses at the request and expense of State and local government units; publishes estimates and projections of the population and housing characteristics; issues current reports on manufacturing, retail and wholesale trade, selected services, construction, imports and exports, State and local government finances and employment, and other subjects; and makes searches of decennial census records and furnishes certificates to individuals for use as evidence of age, relationship, or place of birth.

**Bureau of Economic Analysis (BEA) (11.025-11.050)** -- Provides a clear picture of the U.S. economy through the preparation, development, and interpretation of the national income and product accounts, summarized by the gross national product (GNP); the wealth accounts, which show the business and other components of national wealth; the input-output accounts, which trace the interrelationships among industrial markets; personal income and related economic series by geographic area; the U.S. balance of payments accounts and associated foreign investment accounts; and measures relating to environmental change and to welfare within the framework of the national economic accounts. The data and analyses prepared are disseminated mainly through its monthly publications, the Survey of Current Business, and Business Conditions Digest.

**International Trade Administration (ITA) (11.100-11.109)** -- Promotes world trade and strengthens the international trade and investment position of the United States.

**Economic Development Administration (EDA) (11.300-11.307)** -- Promotes the long-range economic development of areas with severe unemployment and low family income problems; aids in the development of public facilities and private enterprise to help create new, permanent jobs.

**National Oceanic and Atmospheric Administration (NOAA) (11.400-11.428)** -- Reports the weather of the U.S. and its possessions and provides weather forecasts to the general public, issues warnings against such destructive natural events as hurricanes, tornadoes, floods, and tsunamis and provides special services in support of aviation, marine activities, agriculture, forestry, urban air-quality control, and other weather-sensitive activities; monitors and reports all non-Federal weather modification activities conducted in the U.S.; conducts an integrated program of management, research, and services related to the protection and rational use of living marine mammals; prepares and issues nautical and aeronautical charts, provides the Nation's precise geodetic surveys, and conducts broad research programs in marine and atmospheric sciences, solar-terrestrial physics, and experimental meteorology, including weather modifications; predicts tides, currents, and the state of the oceans, conducts research and development aimed at providing alternatives to ocean dumping; provides Federal leadership in promoting wise and balanced management of the Nation's coastal zone; provides satellite observations of the environment by establishing the operating a national environmental satellite system; conducts integrated program of research and services relating to the oceans and inland waters, the lower and upper atmosphere, space environment, and the earth; acquires, stores, and disseminates worldwide environmental data through a system of meteorological, oceanographic, geodetic, and seismological data centers; develops a system of data buoys for automatically obtaining and disseminating marine environmental data; promotes the development of technology to meet future needs of the marine community.

**National Telecommunications and Information Administration (NTIA) (11.550-11.551)** -- Exercises significant responsibility in the areas of communication security, privacy protection, and the application of public service satellites, public telecommunications facilities planning and construction; formulates policies to support the development, growth and regulation of telecommunications, information, and related industries; furthers the efficient development and use of telecommunications and information services; provides policy and management for the use of electromagnetic spectrum; provides telecommunications facilities grants to public service users.

**National Bureau of Standards (NBS) (11.601-11.606)** -- Provides the national system of physical, chemical, and materials measurement; coordinates the system with measurement systems of other nations and furnishes essential services leading to accurate and uniform physical and chemical measurement throughout the Nation's scientific community, industry, and commerce; conducts materials research leading to improved methods of measurement, standards, and data on the properties of materials needed by industry, commerce, educational institutions, and Government; develops, produces, and distributes standard reference materials; and provides calibration services. The National Engineering Laboratory provides technology and technical services to users in the public and private sectors to address national needs and to solve national problems in the public interest; conducts research in engineering and applied science in support of objectives in these efforts; develops engineering data and measurement capabilities; provides engineering measurement traceability services; develops test methods and proposes engineering standards and code changes; develops and proposes new engineering practices; and develops and improves mechanisms to transfer results of its research to the user. The Institute for Computer Sciences and Technology develops and recommends Federal information processing standards and participates in the development of voluntary commercial ADP standards; conducts research in the science and technologies of automatic data processing, computers, and related systems.

**National Technical Information Service (NTIS) (11.650-11.651)** -- Simplifies and improves public access to Department of Commerce publications and to data files and scientific and technical reports sponsored by Federal agencies. NTIS is the central point in the United States for the public sale of Government-funded research and development reports and other analyses prepared by Federal agencies, their contractors, or grantees. The public may quickly locate abstracts of interest from among the 650,000 federally sponsored research reports completed and published from 1964 by using the agency's on-line computer search service (NTISearch). Current abstracts of new research reports and other specialized technical information in various categories of interest are published in some 26 weekly abstract newsletters. An all-inclusive biweekly journal (Government Reports Announcements and Index) is published for librarians, technical information specialists, and those requiring such comprehensive volumes.

**Minority Business Development Agency (MBDA) (11.800)** -- Assists minority businesses in achieving effective and equitable participation in the American free enterprise system and in overcoming social and economic disadvantages that have limited their participation in the past. The agency provides national policies and leadership in forming and strengthening a partnership of business, industry, and government with the Nation's minority businesses. Management and technical assistance is provided to minority firms on request, primarily through a network of local business development organizations funded by the Agency.

**Patent and Trademark Office (PTO) (11.900)** -- Examines applications for three kinds of patents: design patents (issued for 3 1/2, 7, or 14 years), plant patents (issued for 7 years), and utility patents (issued for 17 years). Also processes international applications for patents under the provisions of the Patent Cooperation Treaty. In addition to the examination of patent and trademark applications, issuance of patents, and registration of trademarks, the Office sells printed copies of issued documents; records and indexes documents transferring ownership; maintains a scientific library and search files containing over 20 million documents, including U.S. and foreign patents and U.S. trademarks; provides search rooms for the public to research their applications; hears and decides appeals from prospective inventors and trademark applicants; participates in legal proceedings involving the issue of patents or trademark registrations; helps represent the United States in international efforts to cooperate on patent and trademark policy.

## DEPARTMENT OF DEFENSE

**Defense Logistics Agency (DLA) (12.001)** -- Provides effective and economical support to the military services, other Department of Defense components, Federal civil agencies, foreign governments, and others as authorized, for assigned materiel commodities and items of supply, logistics services directly associated with the supply management function, contract administration services, and other support services as directed by the Secretary of Defense.

**Department of the Army, Office of the Chief of Engineers (12.100-12.110)** -- Civil functions of the Department of the Army include the Civil Works Program, the administration of Arlington and Soldiers' Home National Cemeteries, and other related matters. The Army's Civil Works Program, a responsibilty of the Corps of Engineers is the Nation's major Federal water resources development activity and involves engineering works such as major dams, reservoirs, levees, harbors, waterways, locks, and many other types of structures. These works provide flood protection for cities and major river valleys, reduce the cost of transportation, supply water for municipal and industrial use, generate hydroelectric power, provide recreational opportunities for vast numbers of people, regulate the rivers for many purposes including the improvement of water quality and the enhancement of fish and wildlife, protect the shores of the oceans and lakes, and provide still other types of benefits. Planning assistance is also provided to States and other non-Federal entities for the comprehensive management of water resources, including pollution abatement works. In addition, through the Civil Works Program the Federal Government protects the navigable waters of the United States under legislation empowering the Secretary of the Army to prohibit activities which would reduce the value of such waters to the Nation.

**Department of the Army, National Guard Bureau (12.400)** -- Provides a combat-ready reserve force and facilities for training and administering the Army National Guard units in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and the Virgin Islands.

**U.S. Soldiers' and Airmen's Home (12.500)** -- Provides a permanent residence for the relief and support of certain retired soldiers of the regular Army and Airmen of the Air Force.

**Office of the Assistant Secretary (Manpower, Reserve Affairs, and Logistics) (12.600-12.606)** -- Has responsibility for the fields of manpower and personnel plans, policy, and management; manpower requirements; military and civilian compensation, including retired pay; National Guard and Reserve affairs; education and individual training; civil rights and equal opportunity; religious, morale, and welfare matters. Other responsibilities include labor-management relations; logistics management; supply maintenance, transportation, and services policy; energy management and conservation; safety and accident prevention; environmental quality; economic adjustment; military base structure and utilization; transportation management, sealift, and airlift readiness; customs inspection; drug and narcotics enforcement efforts; installations and real property acquisition, maintenance and disposal; military construction and family housing; and postal policy.

**Secretaries of Military Departments (12.700)** -- (Data to be included in Catalog update.)

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

**Public Health Service (PHS) (13.103-13.399, 13.820-13.995)** -- Promotes and assures the highest level of health attainable for every individual and family in America, and to develop cooperation in health projects with other nations. The major functions of the Service are: to stimulate and assist States and communities with the development of local health resources and to further development of education for the health professions; to assist with improvement of the delivery of health services to all Americans; to conduct and support research in the medical and related sciences and to disseminate scientific information; to protect the health of the Nation against impure and unsafe foods, drugs and cosmetics, and other potential hazards; and to provide national leadership for the prevention and control of communicable disease and for other public health functions.

**Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA)** -- Provides leadership in the Federal effort to reduce, and eliminate where possible, health problems caused to the people of the United States by the abuse of alcohol and drugs, and to improve the mental health of the people in the United States in general. To carry out this mission, the ADAMHA conducts and supports research on the biological, psychological, sociological, and epidemiological aspects of alcoholism, drug abuse, and mental health and illness; supports the training of professional and paraprofessional personnel in the prevention, treatment, and control of alcoholism and drug abuse, and in the promotion of mental health and the prevention and treatment of mental illness; conducts and supports research and development on the delivery of alcoholism, drug abuse, and mental health services, and supports services programs and projects, including facilities construction as appropriate; develops standards and regulations for assuring the quality of alcoholism, drug abuse, and mental health services and provides assistance to regional, State, and local professional standards review organizations in cooperation with appropriate PHS organization components.

**Centers for Disease Control (CDC)** -- Administers national programs for the prevention and control of communicable and vector-borne diseases and other preventable conditions, including the control of childhood lead-based paint poisoning and urban rat control. The Center directs and enforces foreign quarantine activities and regulations; provides consultation and assistance in upgrading the performance of clinical laboratories, and evaluates and licenses clinical laboratories engaged in interstate commerce; and participates in a nationwide program of research, information, and education in the field of smoking and health; To assure safe and healthful working conditions for all working people, occupational safety and health standards are developed, and research and other activities are carried out, through the Center's National Institute for Occupational Safety and Health. The Center also provides consultation to other nations in the control of preventable diseases, and participates with national and international agencies in the eradication or control of communicable diseases and other preventable conditions.

**Food and Drug Administration (FDA)** -- Protects the health of the Nation against impure and unsafe foods, drugs and cosmetics, and other potential hazards.

**The Bureau of Biologics** -- Administers regulation of biological products shipped in interstate and foreign commerce; inspects manufacturers' facilities for compliance with standards; tests products submitted for release; establishes written and physical standards; approves licenses of manufacturers of biological products; conducts research related to the development, manufacture, testing, and use of new and old biological products; and evaluates claims for investigational new drugs that are biological products.

**The Bureau of Drugs** -- Develops FDA policy with regard to the safety, effectiveness, and labeling of all drugs for human use; evaluates new drug applications and notices of claimed investigational exemption for new drugs; develops standards for the safety and effectiveness of all over-the-counter drugs; monitors the quality of marketed drugs through product testing, surveillance, and compliance programs; develops guidelines on good manufacturing practices; conducts research and develops scientific standards on the composition, quality, safety, and efficacy of human drugs; disseminates toxicity and treatment information on household products and medicines; evaluates applications for operation of activities using methadone or other drugs; and directs the FDA antibiotic and insulin certification program.

**The Bureau of Foods** -- Conducts research and develops standards on the composition, quality, nutrition, and safety of foods, food additives, colors, and cosmetics; conducts research designed to improve the detection, prevention, and control of contamination that may be responsible for illness or injury conveyed by foods, colors, and cosmetics; reviews industry petitions and develops regulations for food standards to permit the safe use of color additives and food additives; collects and interprets data on nutrition, food additives, and environmental factors affecting the total chemical insult posed by food additives; and maintains a nutritional data bank.

**The Bureau of Radiological Health** -- Carries out programs designed to reduce the exposure of man to hazardous ionizing and nonionizing radiation; develops standards for safe limits of radiation exposure; develops methodology for controlling radiation exposures; conducts research on the health effects of radiation exposure; and conducts an electronic product radiation control program to protect public health and safety, including the development and administration of performance standards to control the emission of radiation from electronic products, the undertaking by public and private organizations of research, and investigation into the effects and control of such radiation emissions.

**The Bureau of Veterinary Medicine** -- Develops and conducts programs with respect to the safety and efficacy of veterinary preparations and devices; evaluates proposed use of veterinary preparations for animal safety and efficacy; and evaluates FDA's surveillance and compliance programs relating to veterinary drugs and other veterinary medical matters.

**The Bureau of Medical Devices** -- Develops FDA policy regarding the safety, efficacy, and labeling of medical devices; evaluates medical device premarket approval applications, product development protocols, and exemption requests for investigational devices; evaluates the safety, efficacy, and labeling of medical devices and recommends their classification into regulatory categories; develops safety and efficacy standards for medical devices and good manufacturing practice regulations; develops, coordinates, and evaluates FDA surveillance and compliance programs for medical devices; provides technical and other nonfinancial assistance to small manufacturers of medical devices; conducts research and testing activities relating to medical devices; collects and evaluates data on significant hazards to the public health which may be caused by the use of medical devices.

**The National Center for Toxicological Research** -- Conducts research programs to study the biological effects of potentially toxic chemical substances found in man's environment emphasizing the determination of the health effects resulting from long-term low-level exposure to chemical toxicants and the basic biological processes for chemical toxicants in animal organisms; develops improved methodologies and test protocols for evaluating the safety of chemical toxicants and the data from laboratory animals to man; and develops Center programs as a natural resource under the National Toxicology Program.

**Health Resources Administration** -- Identifies health care resource problems and maintains or strengthens the distribution, supply utilization, quality, and cost effectiveness of these resources to improve the health care system and individual health status.

**The Bureau of Health Manpower** -- Provides national leadership in coordinating, evaluating, and supporting the development and utilization of the Nation's health manpower. Its programs are designed to strengthen State and local health manpower capacities as well as to develop new approaches to health manpower development and use.

**The Bureau of Health Facilities Financing, Compliance, and Conversion** -- Directs, coordinates, monitors, supports, and develops policy for Federal programs pertaining to the modernization, utilization, construction, conversion, and closure of non-Federal health facilities.

**The Bureau of Health Planning** -- Provides national leadership and administration of programs of Federal, State and areawide health planning and health delivery systems development.

**Health Services Administration (HSA)** -- Provides professional leadership in the delivery of health services.

**The Bureau of Community Health Services** -- Has been established to help communities find the best ways of meeting their health needs. Its role is to serve as a national focus in improving the organization and delivery of health care by initiating activities which provide alternatives in health service delivery; and administering programs which support health services to specific population groups, including mothers and children, and migrant workers and their families, who lack adequate health care services. Assuring the effective relationship of the delivery of good quality health care with health services financing resources is a high priority concern. It has the responsibility for the management of several health care programs including Maternal and Child Health, Community Health Centers, Migrant Health, Family Planning, and the National Health Service Corps. Primary concerns are for the development of health service delivery capacity for medically underserved areas and population groups and for the improvement and expansion of State or local systems of health care for mothers, children, and adolescents. Management emphasis is placed upon the coordination and integration of grant and other resources to meet community needs for primary health care. A primary health care program has supported the initiation of several hundred ambulatory health service activities in urban and rural areas. Resources from Community Health Centers, Migrant Health, National Health Service Corps, and other programs have been allocated to communities in a unified way with the intent of adequately meeting area needs and of simplifying project administration for grantees. Concurrent with the primary care effort, a strategy for improvement of child health has been devised. The major objective of the strategy is the development or improvement of Statewide child health systems in every State. Emphasis is placed on creation of working relationships among all providers of health services in order to help assure the delivery of the kinds and specializations of care required to foster maternal and child health.

**The Indian Health Service** -- Operates a program of comprehensive health services for eligible American Indians and Alaskan Natives; provides hospital and medical care services and preventive and rehabilitative health services; develops innovative health services delivery systems; conducts tuberculosis and other communicable disease control activities; promotes self-determination of Indian people through community development and participation in program planning and program administration; encourages and assists in the development of water supply and waste disposal systems; and provides training for health personnel.

**The Bureau of Medical Services** -- Provides comprehensive health care services to designated Federal beneficiaries, provides occupational health care and safety services for Federal employees, administers programs concerned with the development, improvement, expansion, and integration of emergency medical services systems, and provides medical personnel and other support services to the medical care programs of the Federal Bureau of Prisons and the U.S. Coast Guard. The Public Health Service hospitals and clinics serve as training centers for medical residents and other health professionals. In addition, the Bureau actively engages in clinical and health services research projects, often in cooperation with other Federal agencies. The Bureau also participates with local, State, and Federal agencies in a wide range of community programs aimed primarily at medically underserved urban residents.

**Office of Human Development Services (OHD) (13.600-13.668)** -- Administers a broad range of human services and human development programs designed to deal with the problems of specific populations, including the elderly, children of low-income families, persons with mental or physical handicaps, runaway youth, and Native Americans. It also serves as an advocate within the Department for the needs of these special groups.

**The Administration on Aging (AOA)** -- Identifies the needs, concerns, and interests of older persons and is also responsible for carrying out the programs of the Older Americans Act. AOA is also the principal agency for promoting coordination of Federal resources available to meet the needs of older persons. AOA administers a program of formula grants to State agencies on aging to serve as advocates for the elderly and to assist in the establishment of comprehensive, coordinated service systems for older persons at the community level. State agencies designate and fund area agencies on aging, which serve as advocates for the elderly within their communities. In addition, area agencies plan and manage the delivery of a variety of social services and nutrition services which are authorized under title III. AOA also may make direct grants to qualified Indian tribal organizations to support social and nutrition services for older Native Americans. AOA awards grants for research, demonstrations, and manpower development projects. In addition, the office operates the National Information and Resource Clearinghouse for the Aging.

**The Administration for Children, Youth, and Families (ACYF)** -- Consists of two principal program units: the Office of Services for Children and Youth and the Office of Developmental Services; and also two smaller units--the Office for Families and the Office on Domestic Violence. The Office of Developmental Services emphasizes programs that maximize positive development of young children, especially those receiving out-of-home care during some portion of the day. The Office of Services for Children and Youth administers programs which provide social services to children and their families and serves as an advocate for the needs of children and youth. Among the activities of this Office is a new adoption program intended to facilitate the adoption or foster care placement of children with special needs, both within and across State lines, providing model legislation States may use and setting up mechanisms to facilitate adoption or foster care placement. The Office for Families provides a focal point for family concerns within the Department of Health and Human Services (HHS) through the development and coordination of policies, legislation, and programs which affect families. The Office on Domestic Violence provides a central focus for policy planning, provision of information, and coordination of activities within the Department related to domestic violence. ACYF also serves as a coordination point for all Federal programs for children and their families and as an advocate for the children and youth of the Nation by bringing their needs to the attention of the Government and the public. Operates federally funded programs for children, such as Head Start and Parent and Child Centers; administers the National Center on Child Abuse and Neglect and Child Welfare Services program; and coordinates intradepartmental activities in the field of runaway youth. The Administration also awards grants for the training of child welfare workers and for research and demonstration projects in the fields of child, youth, and family services.

**The Administration for Native Americans (ANA)** -- Provides a departmental focus for the special concerns of American Indians, Alaskan Natives, and Native Hawaiians. It assists Native Americans in achieving the goal of economic and social self-sufficiency by providing direct and flexible funding to Indian tribes and other organizations through which Native Americans establish their own priorities as well as control and direct the institutions and programs which affect their lives. A major goal of ANA is to strengthen the capability of Native American organizations and instruments of government, so that they can respond to the complex demands and increased responsibilities being placed upon them, provide community services, and obtain resources and benefits for which Native Americans are eligible as American citizens. In addition, ANA has an advocacy responsibility to develop policy and legislative guidance, to advise the secretary, and to provide liaison with other Federal agencies on Native American affairs. A primary mechanism for achieving this responsibility is the Intra-Departmental Council on Indian Affairs.

**The Administration for Public Services (APS)** -- Provides leadership in the planning, development, management, and coordination of all social services programs authorized under title XX of the Social Security Act. It provides leadership for social services programs to improve the capability of eligible families and individuals to achieve self-support and self-sufficiency; to reduce institutionalization and institutionalized care; to strengthen family life for disadvantaged families and children; to assist in family planning; to improve the social functioning of disadvantaged individuals, including aged, blind, or permanently and totally disabled persons, drug addicts, and alcoholics; and to secure appropriate institutionalization and deinstitutionalization for eligible persons. The Administration also coordinates HHS programs and services designed to improve employment potential and job opportunities for Americans who are umemployed, underemployed, or in need of training; and works with other Federal agencies, such as the Department of Labor, in carrying out these functions. The Administration works through HDS Regional Offices and other appropriate organizations to develop capability in State public welfare agencies to plan, manage, and evaluate the effective delivery of social services. Through its regional staff, the Administration also offers technical assistance to Comprehensive Employment and Training Act (CETA) grantees in planning their manpower strategies and in developing effective linkages with HHS manpower-related services.

**The Administration for Public Services** -- Manages Federal training grant programs for social services training, and provides leadership in the planning, development, and management of programs which fund training to increase the competence of State and local agency and other social services manpower. APS advocates for the needs of rural Americans by identifying barriers to service delivery, recommending new service delivery systems, and coordinating with other Federal agencies to deliver services to target areas. The Administration also serves as an advocate for volunteer participation in HDS-funded programs.

**Office of the Secretary (13.675-13.679)** -- The Secretary of HHS advises the President on health, welfare, and income security plans, policies, and programs of the Federal Government. The Secretary directs Department staff in carrying out the approved programs and activities of the Department and promotes general public understanding of the Department's goals, programs, and objectives. The Secretary administers these functions through the four Principal Operating Components (POC's): the Office of the Secretary and specialized units, such as the Office for Civil Rights and the Office of Consumer Affairs. The Secretary and the top staff also prepare special reports on national problems which are available to the public through the Department and the Government Printing Office. In addition, the Secretary submits to the President and the Congress periodic reports required by law that further explain how tax money was spent, progress was achieved, or social problems were resolved.

**Health Care Financing Administration (HCFA) (13.714-13.777)** -- Places under one Administration the oversight of the Medicare and Medicaid programs and related Federal medical care quality control staffs. The following major programs will be directed by HCFA. The Medicare program provides basic health benefits to recipients of social security and is funded through the Social Security Trust Fund. HCFA will be concerned with the development of policies, procedures, and guidance related to the program recipients, the providers of services such as hospitals, nursing homes, and physicians, the intermediaries who adjudicate claims, and the effective coordination with related Department programs, activities, and organizations which are closely related to the Medicare program. The Medicaid program through grants to States provides medical services to the needy and the medically needy. HCFA is responsible for developing approaches toward meeting the needs of those who cannot afford adequate medical care; providing technical assistance to States and local organizations to extend the scope and content and improve the quality of medical care programs for the needy; and serves as the clearinghouse for information relating to the program.

**Social Security Administration (SSA) (13.802-13.818)** -- Administers a national program of contributory social insurance whereby employees, employers, and the self-employed pay contributions which are pooled in special trust funds. When earnings stop or are reduced because the worker retires, dies, or becomes disabled, monthly cash benefits are paid to replace part of the earnings the family has lost. Part of the contributions go into a separate hospital insurance trust fund, so that when workers and their dependents become 65 years old they will have help with their hospital bills. They may also elect to receive help with doctor bills and other medical expenses by paying a percentage of supplementary medical insurance premiums, while the Federal Government pays the remainder. Together these two programs are often referred to as 'Medicare.' Under certain conditions, Medicare protection is also provided to people who are receiving social security or railroad retirement monthly benefits based on a disability. The Social Security Administration is responsible for the administration of the income maintenance portion of grants to States under Title IV, the Aid to Families with Dependent Children (AFDC) portion of the Social Security Act; and for financial aid to the needy aged, blind, and disabled in Puerto Rico, the Virgin Islands, and Guam, under other provisions of the Act. The principal functions of the Social Security Administration include: research and recommendations oriented to the problems of poverty, and health care for the aged, blind, and disabled; the planning, design, and development, on a long-range basis, of SSA administrative plans, including those for future automated data processing systems to be used in establishing and maintaining the basic records essential to SSA-administered programs; statistical measurement and systematic evaluation of the quality of SSA programs; development of programs and materials to assure Congressional, Federal/State agency, and public knowledge and understanding of protections, rights, and responsibilities under

SSA administered programs; policy guidance for the administration of the retirement, survivors, and disability insurance programs, as well as the supplemental security income program. In addition, the Social Security Administration, through a nationwide field organization of 10 regional offices, 6 SSA program service centers, and over 1,300 local offices, guides and directs all aspects of the cash benefit program operations of SSA; and directs the activities of those offices responsible for various program operations, including retirement, survivors, and disability insurance, and supplemental security income.

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**Housing-Federal Housing Commissioner (14.103-14.171)** -- The Assistant Secretary for Housing, who is also the Federal Housing Commissioner, directs housing programs and functions of the Department including the production, financing, and management of housing, and the preservation and rehabilitation of the housing stock. The Assistant Secretary is responsible for the following programs: mortgage insurance, rehabilitation, health facilities, and other financial and related assistance authorized by the National Housing Act; the low-income housing program under the United States Housing Act of 1937; the rent supplement program under Title I of the Housing and Urban Development Act of 1965; the repair, construction, improvement, removal, demolition, or alteration, management, rehabilitation, rental maintenance, operation, and disposition of real and related personal property conveyed to or in the custody of the Secretary; the elderly housing loan program under section 202 of the Housing Act of 1959; management and collection activities for the Rehabilitation Loan Program under section 312 of the Housing Act of 1964; technical and financial assistance to nonprofit sponsors under section 106 of the Housing and Urban Development Act of 1968; local agency administrative regulations and practices; private market financing; liquidating programs; and independent living for the disabled. The Assistant Secretary also serves as Chairman of the Mortgagee Review Board, which is authorized to exercise authority and perform functions with respect to withdrawal of mortgagee approval.

**Community Planning and Development (14.207-14.229)** -- The Assistant Secretary for Community Planning and Development is responsible for the following programs and activities: The primary objective of Title I of the Housing and Community Development Act of 1974 is the development of viable urban communities by providing decent housing and a suitable living environment and expanding economic opportunities principally for persons of low and moderate income. More specifically, objectives include: (1) elimination of slums and blight; (2) increase of the supply of low- and moderate-income housing; (3) elimination of conditions which are detrimental to health, safety, and welfare; (4) conservation of existing housing; (5) improvement of public services; (6) rational utilization of land; and (7) preservation of property with special values. Under Title I of the HOUSING COMMUNITY DEVELOPMENT ACT OF 1974, a 3-percent fund is reserved for secretarial discretion in making grants in behalf of the following activities: (1) new communities; (2) States and local units of government which join in carrying out programs on an areawide basis; (3) community development insular areas; (4) innovative community development projects; (5) innovative community development projects; (6) correction of inequities resulting from allocation provisions; (7) community development for Indian tribes and Alaskan natives; and (8) technical assistance.

**THE COMPREHENSIVE PLANNING ASSISTANCE PROGRAM as outlined in section 701 of the Housing Act of 1954, as amended, assists State and local governments and entire areas having common or related planning and development programs.**

**THE UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY ACQUISITION POLICIES ACT OF 1970 (UNIFORM ACT) establishes policies and requirements to ensure the fair and equitable treatment of persons displaced by a federally assisted project and owners of property acquired for a project. The Office of Community Planning and Development develops HUD policies, standards, procedures, and advisory materials implementing the act and monitors HUD-assisted activities to ensure compliance with the law. The Assistant Secretary implements policies and procedures for the protection and enhancement of environmental quality pursuant to the National Environmental Policy Act of 1969 and the Housing and Community Development Act of 1974, as amended. Environmental activities encompass the development of standards, policies and procedures for environmental assessments and impact statements, historic preservation reviews, compliance with laws and Executive orders on archeology, floodplains, wetlands, acquifers, and endangered species. Activities include the development and administration of strategies for the amelioration of environmental problems such as natural hazards and air and noise pollution. Emphasis is placed on environmental and land-use planning and environmental management practices, including urban environmental design and the quality of the built environment. The Assistant Secretary is responsible for the administration of projects not yet completed under programs that now have been replaced by Title I of the Housing and Community Development Act of 1974. Programs in that category are: Open Space; Water and Sewer; Neighborhood Facilities; Urban Renewal; Neighborhood Development Program; and Model Cities. Under Title VIII, section 810 of the Housing and Community Development Act of 1974, as amended, HUD is authorized to transfer, without payment, to States, units of local government or their designated public agencies, Secretary-owned, unoccupied, unrepaired, one- to four-family residences for use in a HUD approved urban homesteading program. The legislation also authorizes the appropriation of funds to reimburse the Department for any properties transferred under section 810. The Assistant Secretary has responsibility for assisting HUD and the administration in articulating national urban policy concepts, alternatives, and strategies. The Assistant Secretary also assists the Secretary in working with other agencies and the White House on urban policy issues and in implementing the President's national urban policy. The Assistant Secretary carries out activities to achieve maximum coordination of the programs of the various agencies of the Government which have a major impact on community development. This includes representing HUD on interagency community development commissions and task forces, including those pertaining to joint funding.**

**Office of Fair Housing and Equal Opportunity (14.400-14.403)** -- Administers the fair housing program authorized by the Civil Rights Act of 1968, as amended; assuring that the programs and activities of the Department operate affirmatively to further the goals of equal opportunity; coordinating planning, monitoring, and reviewing programs to increase training, employment, and economic opportunities for lower-income and minority-group project area residents in HUD-assisted activities; and developing and monitoring the implementation of standards, procedures, and guidelines under Executive Order 11478, as amended, providing for equality of employment opportunity within the Department.

**Office of Policy Development and Research (14.506)** -- Evaluates existing programs and policies and analyzes potential programs and policies by employing the independent and objective research capacities of its staff and its consultants. Undertakes programs of research, studies, testing, and demonstrations related to the HUD mission. These functions are carried out through grants, cooperative agreements, contracts with industry, nonprofit research organizations, educational institutions, and agreements with State and local governments, other Federal agencies, and private foundations. Research efforts have been narrowed and intensified to focus on the following priority subjects: urban economic development, public finance, and tax policy; housing for the elderly and handicapped; neighborhood reinvestment and revitalization and reversing decline in neighborhoods; financial institution regulation and alternative housing finance mechanisms; housing costs; and capacity building for State and local governments in financial management. There also are other programs of research in the following fields: housing assistance programs; housing management; residential saftey and technology, including lead paint hazard abatement and mobile home safety; code administration; collection and analysis of economic and financial data about housing and community development, including the Annual Housing Survey; fair housing and equal opportunity; housing counseling and consumer assistance; housing rehabilitation and security; aid for financially distressed housing; environmental hazards; community growth and land use; energy conservation in buildings and community utility services; and the dissemination of research and evaluation results.

## DEPARTMENT OF THE INTERIOR

**Bureau of Indian Affairs (BIA) (15.103-15.144)** -- Encourage and train Indian and Alaska Native people to manage their own affairs under the trust relationship to the Federal Government; to facilitate, with maximum involvement of Indian and Alaska Native people, full development of their human and natural resource potentials; to mobilize all public and private aids to the advancement of Indian and Alaska Native people for use by them; and to utilize the skill and capabilities of Indian and Alaska Native people in the direction and management of programs for their benefit.

**Bureau of Land Management (BLM) (15.206-15.220)** -- Has responsibility for the total management of 341 million acres of public lands located primarily in the Far West and Alaska and scattered parcels located in other States. In addition to minerals management responsibilities on the public lands and the Outer Continental Shelf, the Bureau is responsible for subsurface resource management of an additional 169 million acres where mineral rights have been reserved to the Federal Government. Resources managed by the Bureau include timber, minerals, oil and gas, geothermal energy, wildlife habitat, endangered plant and animal species, rangeland vegetation, recreation and cultural values, wild and scenic rivers, designated conservation and wilderness areas, and open space; provides for the protection (including fire suppression), orderly development, and use of public lands and resources under principles of multiple use and sustained yield. Land use plans are developed with public involvement to provide orderly use and development while maintaining and enhancing the quality of the environment; manages watersheds to protect soil and enhance water quality; makes land available through sale to individuals, organizations, local governments, and other Federal agencies when such transfer is in the public interest. Lands may be leased to State and local government agencies and to nonprofit organizations for certain purposes; the Bureau issues rights-of-way, in certain instances, for crossing Federal lands under other agencies' jurisdictions; is responsible for the survey of Federal lands and establishes and maintains public land records and records of mining claims; and also administers a program of payments in lieu of taxes based on the amount of federally owned lands in counties and other units of local government.

**Office of Surface Mining Reclamation and Enforcement (15.250-15.252)** -- Creation of a nationwide program that protects society and the environment from the adverse effects of coal mining operations, while ensuring an adequate supply of coal to meet the Nation's energy needs. Major objectives of the Office include establishment of minimum national standards for regulating the surface effects of coal mining, assistance to the States in developing and implementing regulatory programs, and promotion of the reclamation of previously mined areas.

**Water and Power Resource Service (15.501-15.503)** -- Locate, construct, operate, and maintain works for the storage, diversion, and development of waters for the reclamation of arid and semiarid lands in the Western States. The basic objectives of the Service's program are to assist the States, local governments, and other Federal agencies to stabilize and stimulate local and regional economies, enhance and protect the environment, and improve the quality of life through development of water, other renewable resources, and related land resources throughout the 17 contiguous Western States and Hawaii.

**U.S. Fish and Wildlife Service (15.600-15.613)** -- Responsible for wild birds, endangered species, certain marine mammals, inland sport fisheries, and specific fishery and wildlife research activities, assures maximum opportunity for the American people to benefit from fish and wildlife resources as part of their natural environment. Assists in the development of an environment stewardship ethic for our society based on ecological principles, scientific knowledge of wildlife, and a sense of moral responsibility; guides the conservation, development, and management of the Nation's fish and wildlife resources.

**Geological Survey (15.800-15.804)** -- Perform surveys, investigations, and researches covering topography, geology, and the mineral and water resources of the United States; classify land as to mineral character and water and power resources; enforces departmental regulations applicable to oil, gas, and other mining leases, permits, licenses, development contracts, and gas storage contracts; and publishes and disseminates data relative to the foregoing activities.

**Indian Arts and Crafts Board (15.850)** -- Encourages and promotes the development of Native American arts and crafts.

**National Park Service (15.900-15.919)** -- Administers for the American people an extensive system of national parks, monuments, historic sites, and recreation areas. The objectives of the National Park Service are to administer the properties under its jurisdiction for the enjoyment and education of our citizens, to protect the natural environment of the areas, and to assist States, local governments, and citizen groups in the development of park areas, the protection of the natural environment, and the preservation of historic properties.

**Office of Water Research and Technology (OWRT) (15.950-15.953)** -- Performs water resources research, development, demonstration, and technology transfer activities and related functions vested in the Secretary of the Interior under the Water Research and Development Act of 1978, as amended. The fundamental purposes of OWRT are to develop new or improved technology and methods for solving of mitigating existing and projected State, regional, and nationwide water resource problems; to train water scientists and engineers through their on-the-job participation in research work; and to accomplish water research results information dissemination activities.

## DEPARTMENT OF JUSTICE

**Drug Enforcement Administration (DEA) (16.001-16.005)** -- Enforces the controlled substances laws and regulations, and brings to the criminal and civil justice system of the United States or any other competent jurisdiction, those organizations, and principal members of organizations involved in the growing, manufacture, or distribution of controlled substances appearing in or destined for the illicit traffic in the United States. DEA's mission requires it to provide a leadership role in narcotic and dangerous drug suppression programs at the national and international level and, as the lead agency in Federal drug law enforcement, to develop the overall Federal drug enforcement strategy, programs, and plans to continuously assess their effectiveness and applicability.

**Civil Rights Division (16.100-16.105)** -- Enforces Federal civil rights laws which prohibit discrimination on the basis of race, national origin, religion, and in some instances sex, age, or handicap in the areas of voting, education, employment, housing, credit, the use of public facilities and public accommodations, and in the administration of federally assisted programs. With respect to employment, housing, and education, sex discrimination is also prohibited. The congressional statutes enforced are the Civil Rights Acts of 1957, 1960, 1964, 1968, the Voting Rights Act of 1965, and their amendments, and the Equal Credit Opportunity Act, as amended in 1976. The Civil Rights Division also has the obligation to enforce specific criminal statutes including those concerning willful deprivation of constitutional rights while acting under color of law or through conspiracy and violent interference with federally protected activities.

**Community Relations Service (CRS) (16.200)** -- Provides onsite dispute resolution assistance through its field staff of mediators and conciliators working out of 10 regional offices. Under its mandate CRS is not restricted to issues stemming from alleged violations of a particular antidiscrimination statute, but can offer assistance in resolving any problem relating to racial and ethnic discrimination. CRS not only aids in resolving disputes and difficulties as they erupt but also seeks to assist and support communities in developing local mechanisms to address future problems. Primary activities of CRS include the use of conciliation and/or mediation processes to settle differences through a common understanding and voluntary action. Each process is composed of certain specialized techniques designed to deal with complex racial and ethnic issues. The goal of each, however, is the immediate reduction of community tension and the establishment of viable alternatives for resolving difficulties, short of coercion or litigation.

**Federal Bureau of Investigation (FBI) (16.300-16.305)** -- Investigates all violation of Federal laws with the exception of those which have been assigned by legislative enactment or otherwise to some other Federal agency. The FBI's jurisdiction includes a wide range of responsibilities in the criminal, civil, and security fields. Among these are espionage, sabotage, and other domestic security matters; kidnaping; extortion; bank robbery; interstate transportation of stolen property; civil rights matters; interstate gambling violations; fraud against the Government; and assault or killing the President or a Federal officer. Cooperative services of the FBI for other duly authorized law enforcement agencies include fingerprint identification, laboratory services, police training, and the National Crime Information Center.

**Immigration and Naturalization Service (INS) (16.400)** -- Administers the immigration and naturalization laws relating to the admission, exclusion, deportation, and naturalization of aliens. Specifically, the Service inspects aliens to determine their admissibility into the United States; adjudicates requests of aliens for benefits under the law; guards against illegal entry into the United States; investigates, apprehends, and removes aliens in this country in violation of the law; and examines alien applicants wishing to become citizens. Through offices in the United States and in other areas around the world, the Service provides information and counsel to those seeking U.S. citizenship. Wherever possible, the Service, in conjunction with public schools in this country, provides textbooks and other instructional services to those wishing naturalization. Through numerous enforcement activities, such as the Border Patrol, the Service protects the national security of the United States and the welfare of those legally residing here. In addition to citizenship and immediately related matters, the Service, in cooperation with other Federal, State, and local law enforcement agencies, works to stem the inflow of illegal drugs.

**Office of Juvenile Justice and Delinquency Prevention (OJJDP) (16.540-16.542)** -- Data to be included in Catalog update.

**Bureau of Justice Statistics (16.550-16.553)** -- Provides a variety of statistical services for the criminal justice community. It recommends standards for the generation of data, analyses, dissemination of statistics, and provides for the security and privacy of criminal justice statistics. It aids State and local governments in the development of the data base and the information and communication systems needed to improve the effectiveness of the criminal justice system.

**National Institute of Justice (NIJ) (16.560-16.562)** -- Supports basic and applied research into justice issues. Programs are evaluated and their impact on the quality of justice is assessed by NIJ. Demonstration programs are funded to test the effectiveness of different approaches to law enforcement and criminal and civil justice problems. A wide range of information is available for dissemination to interested individuals and organizations.

**Office of Justice Assistance, Research and Statistics (OJARS) (16.570-16.571)** -- Data to be included in Catalog update.

**Bureau of Prisons (16.601-16.603)** -- Responsible for the care and custody of those persons convicted of Federal crimes and sentenced by the courts to serve a period of time incarcerated in a Federal penal institution. The Bureau carries out this responsibility by operating a nationwide system of maximum, medium, and minimum security prisons, halfway houses (called Community program offices). The Central Office in Washington provides overall coordination of Bureau of Prisons operations on a nationwide basis, issues standards and policy guidelines, and retains responsibility for those activities not delegated to regional or field management levels. The Regional Offices, located in Philadelphia, Atlanta, Kansas City, Dallas, and Burlingame, California, near San Francisco, are responsible for the management of Bureau institutions and programs within each region.

## DEPARTMENT OF LABOR

**Bureau of Labor Statistics (BLS) (17.002-17.006)** -- Responsible for the Department's economic and statistical research activities. The Bureau is the Government's principal factfinding agency in the field of labor economics, particularly with respect to the collection and analysis of data on labor requirements, labor force, employment, unemployment, hours of work, wages and employee compensation, prices, living conditions, labor-management relations, productivity and technological developments, occupational safety and health, structure and growth of the economy, urban conditions and related socio-economic issues, and international aspects of certain of these subjects. It has no enforcement or administrative functions. Practically all of the basic data it collects from workers, businessmen, and from other governmental agencies are supplied by voluntary cooperation based on their interest in and need for the analyses and summaries which result. The research and statistical projects planned grow out of the needs of these groups, as well as the needs of Congress and the Federal and State governments. The information collected is issued in monthly press releases, in special publications, and in its official publication, the Monthly Labor Review. Other major periodicals of the Bureau include: the Consumer Price Index, Producer Prices and Price Indexes, Employment and Earnings, Current Wage Developments, Occupational Outlook Handbook, and Occupational Outlook Quarterly. BLS regional offices issue additional reports and releases usually presenting locality or regional detail.

**Labor-Management Relations Services (LMSA) (17.100-17.103)** -- Services offered by LMSA include assistance to employers and unions in meeting long-range, complicated problems caused by major economic and technological change; reporting on current and potentially critical dispute situations, analyzing data for immediate use in specific collective bargaining situations; providing staff assistance to Presidential emergency boards and other ad hoc boards and commissions dealing with major disputes, such as in the transportation industry; making sure under section 13(c) of the Urban Mass Transportation Act that protective arrangements exist so that the improvement of such systems with Federal funds shall not worsen the employment conditions of the workers; and exchanging information with, and giving technical assistance to, State and local governments and organizations of their employees to help them achieve sound labor-management relations.

**Employment and Training Administration (ETA) (17.201-17.245)** -- Conducts certain work-experience and work training programs; funding and overseeing of programs conducted under the provisions of the Comprehensive Employment and Training Act of 1973, as amended, by States and other authorized sponsors, administration of the Federal-State Employment Security System; and conduct of a continuing program of research, development, and evaluation. The Assistant Secretary for Employment and Training is responsible for ensuring that programs funded through ETA are free from unlawful discrimination, fraud, and abuse, It is the policy of ETA to ensure full compliance with constitutional, statutory, and regulatory provisions and to promote equal opportunity, affirmative action, and fund intergrity in programs to which ETA extends financial assistance.

**Employment Standards Administration (ESA) (17.301-17.308)** -- Administers and directs employment standards programs dealing with: minimum wage and overtime standards; registration of farm labor contractors; determining prevailing wage rates to be paid on Government contracts and subcontracts; nondiscrimination and affirmative action for minorities, women, veterans, and handicapped workers on Government contracts and subcontracts; and workers' compensation programs for Federal and certain private employers and employees.

**Occupational Safety and Health Administration (OSHA) (17.500)** -- Develops and promulgates occupational safety and health standards; develops and issues regulations; conducts investigations and inspections to determine the status of compliance with safety and health standards and regulations; and issues citations and proposes penalties for noncompliance with safety and health standards and regulations.

**Mine Safety and Health Administration (MSHA) (17.600-17.602)** -- Data to be included in Catalog update.

**Office of the Secretary (17.700)** -- The Secretary is the principal adviser to the President on the development and execution of policies and the administration and enforcement of laws relating to wage earners, their working conditions and their employment opportunities.

**Office of the Assistant Secretary for Veteran's Employment (17.800 - 17.801)**

## DEPARTMENT OF STATE

**Office of the Legal Adviser (19.200-19.202)** -- The Legal Adviser is the principal adviser to the Secretary and to the Department on all legal matters with which the Department and overseas posts are concerned.

## DEPARTMENT OF TRANSPORTATION

**United States Coast Guard (20.001-20.002)** -- Maintains a system of rescue vessels, aircraft and communications facilities to carry out its function of saving life and property in and over the high seas and the navigable waters of the United States. This function includes flood relief and removing hazards to navigation. The Coast Guard is the primary maritime law enforcement agency for the United States. It enforces or assists in the enforcement of applicable Federal laws and treaties and other international agreements to which the United States is party, on and under the high seas and waters subject to the jurisdiction of the United States, and may conduct investigations into suspected violations of such laws and international agreements. The Coast Guard is charged with administering and enforcing various safety standards for the design, construction, equipment, and maintenance of commercial vessels of the United States and offshore structures on the Outer Continental Shelf. The program includes enforcement of safety standards on foreign vessels subject to U.S. jurisdiction and administration and enforcement of vessel personnel manning and crew qualification standards. Investigations are conducted of reported marine accidents, casualties, violations of law and regulations, misconduct, negligence, and incompetence occuring on commercial vessels subject to U.S. jurisdiction. Surveillance operations and boardings are conducted to detect violations of law and regulations. The program also functions to facilitate marine transportation by measuring vessels, supervising the employment and records of employment of merchant marine personnel, and administering the vessel documentation laws. The Coast Guard administers the Great Lakes Pilotage Act of 1960 which regulates pilotage services on the Great Lakes. Implements the Nation's policies for protection of the marine environment. The program objectives are to maintain or improve the quality of the marine environment and to minimize the damage caused by pollutants discharged into the marine environment. The Port Safety and Security Program is administered by the Coast Guard Captains of the Port (COTPs). Title 14 of the U.S. Code authorizes the Coast Guard to enforce rules and regulations governing the safety and security of ports and the anchorage and movement of vessels in U.S. waters. The Coast Guard establishes and maintains the United States aids to navigation system which includes lighthouses, lightships, buoys, beacons, fog signals, marine radiobeacons, racons, and long-range radio navigation aids (including Loran). With the exception of Loran, which extends to the Western Pacific, Arctic, Europe, and Middle East, aids are established in or adjacent to waters subject to the jurisdiction of the United States. These aids to navigation are intended to assist a navigator to determine his position or safe course, or to warn him of dangers or obstructions to navigation. Other aids to navigation-related functions include origin of marine information radio broadcasts and publication of Local Notices to Mariners and Coast Guard Light Lists. The Coast Guard administers the several statutes regulating the construction, maintenance, and operation of bridges across the navigable waters of the United States to provide for safe navigation through and under bridges. The Coast Guard operates the Nation's icebreaking vessels (icebreakers and ice-capable cutters), supported by aircraft, for ice reconnaissance, to facilitate maritime transportation and aid in prevention of flooding in domestic waters, and support logistics to U.S. polar installations. Icebreakers also support scientific research in Arctic and Antarctic waters. Under the provisions of the Deepwater Port Act of 1974, the Coast Guard administers a licensing and regulatory program governing the construction, ownership (international aspects), and operation of deepwater ports on the high seas to transfer oil from tankers to shore. The Coast Guard develops and directs a national boating safety program aimed at making the operation of small craft in U.S. waters both pleasurable and safe. This is accomplished by establishing uniform safety standards for recreational boats and associated equipment; encouraging State efforts through a grant-in-aid and liaison program; coordinating public education and information programs; administering the Coast Guard Auxiliary; and enforcing compliance with Federal laws and regulations relative to safe use and safety equipment requirements for small boats. Coast Guard Auxiliary is a nonmilitary volunteer organization of private citizens who own small boats, aircraft, or radio stations. Auxiliary members assist the Coast Guard by conducting boating education programs, patrolling marine ragattas, participating in search and rescue operations, and conducting courtesy marine examinations. The Coast Guard marine science effort involves applied oceanography in support of other Coast Guard programs and missions. The Coast Guard administers and operates the International Ice Patrol, which provides an iceberg warning service in the area of the Grand Banks of Newfoundland. It maintains a state of readiness to function as a specialized service in the Navy in time of war. The Coast Guard Reserve provides qualified individuals and trained units for active duty in time of war or national emergency and at such other times as the national security requires. In addition to its role in national defense, the Reserve augments the active service in the performance of peace-time missions during domestic emergencies and during routine and peak operations. The Marine Safety Council acts as a deliberative body in considering proposed Coast Guard regulations and to provide a forum for the consideration of related problems.

**Federal Aviation Administration (FAA) (20.100-20.105)** -- Regulates air commerce to foster aviation safety; promotes civil aviation and a national system of airports; achieves efficient use of navigable airspace; and develops and operates a common system of air traffic control and air navigation for both civilian and military aircraft.

**Federal Highway Administration (FHWA) (20.205-20.217)** -- Coordinates highways with other modes of transportation to achieve the most effective balance of transportation systems and facilities under cohesive Federal transportation policies as contemplated by the act. The FHWA is concerned with the total operation and environment of highway systems, with particular emphasis on improvement of highway-oriented aspects of highway safety.

**Federal Railroad Administration (FRA) (20.301-20.310)** -- Consolidates Government support of rail transportation activities, provides a unified and unifying national rail transportation policy, administers and enforces rail safety laws and regulations, administers financial assistance programs for certain railroads, conducts research and development in support of improved intercity ground transportation and the future requirements for rail transportation, provides revitalization of Northeast Corridor rail passenger service, and operates The Alaska Railroad.

**Urban Mass Transportation Administration (UMTA) (20.500-20.510)** -- Assists in the development of improved mass transportation facilities, equipment, techniques, and methods; encourages the planning and establishment of areawide urban mass transportation systems; and provides assistance to State and local governments in financing such systems.

**National Highway Traffic Safety Administration (20.600)** -- Carries out programs relating to the safety performance of motor vehicles and related equipment, motor vehicle drivers, and pedestrians under the National Traffic and Motor Vehicle Safety Act of 1966 (80 Stat. 718), as amended. Under the authority of the Motor Vehicle Information and Cost Saving Act (86 Stat. 947), as amended, the Administration carries out programs and studies aimed at reducing economic losses in motor vehicle crashes and repairs, through general motor vehicle programs; administers the Federal odometer law, and a uniform national maximum speed limit; and promulgates average fuel economy standards for passenger and non-passenger motor vehicles. Under the Authority of the Clean Air Amendments of 1970 (84 Stat. 1700), the Administration certifies as to the consistency of Environmental Protection Agency State grants with any highway safety program developed pursuant to section 402 of title 23 of the United States Code. The National Highway Traffic Safety Administration was established to carry out a congressional mandate to reduce the mounting number of deaths, injuries, and economic losses resulting from traffic accidents on the Nation's highways and to provide motor vehicle damage susceptibility and ease of repair information, motor vehicle inspection demonstrations, and protection of purchasers of motor vehicles having altered odometers, and to provide average standards for greater vehicle mileage per gallon of fuel for vehicle under 10,000 pounds (gross vehicle weight).

**Research and Special Programs Administration (20.700)** -- Serves as a research, analysis, and technical development arm of the Department, as well as to conduct special programs. Particular emphasis is given to pipeline safety, transportation of hazardous cargo by all modes of transportation, transportation safety, transportation security, and multimodal transportation research and development activities including programs with the university community.

**Maritime Administration (20.800-20.812)** -- Aids in the development, promotion, and operation of the U.S. Merchant Marine; organizes and directs emergency merchant ship operations; administers subsidy programs, through the Maritime Subsidy Board, under which the Federal Government pays the difference between certain costs of operating ships under the U.S. flag and foreign competitive flags on essential services, and the difference between the costs of constructing ships in U.S. and foreign shipyards; provides financing guarantees for the construction, and reconditioning of ships; enters into capital construction fund agreements which grant tax deferrals on moneys to be used for the acquisition, construction, or reconstruction of ships; constructs or supervises the construction of merchant type ships for the Federal Government; conducts programs to develop ports, facilities, and intermodal transport, and to promote domestic shipping; administers a War Risk Insurance program insuring operators and seamen against losses caused by hostile action if domestic commercial insurance is not available; conducts research and development activities to improve the efficiency and economy of the merchant marine; operates the U.S. Merchant Marine Academy training young people to become merchant marine officers; provides courses in marine specialties for merchant seamen; administers a grant-in-aid program for the maritime academies.

## DEPARTMENT OF THE TREASURY

**Internal Revenue Service (IRS) (21.003-21.006)** -- Administers and enforces the Internal Revenue laws and related statues, except those relating to alcohol, tobacco, firearms, and explosives. The IRS mission is to encourage and achieve the highest possible degree of voluntary compliance with the tax laws and regulations and to conduct itself so as to warrant the highest degree of public confidence in the integrity and efficiency of the Service. Accomplishment of this mission involves advising the public of its rights and responsibilities; communicating requirements of the law to the public; assisting taxpayers in complying with the laws and regulations, and taking those enforcement actions necessary for fair, effective, and impartial tax administration. Basic IRS activities include ensuring satisfactory resolution of taxpayer complaints, providing taxpayer service and education; determination, assessment, and collection of internal revenue taxes; determination of pension plan qualifications and exempt organization status; and preparation and issuance of rulings and regulations to supplement the provisions of the Internal Revenue Code.

**Bureau of Alcohol, Tobacco and Firearms (21.051-21.052)** -- Enforces and administers firearms and explosives laws, as well as those covering the production, use, and distribution of alcohol and tobacco products. The objective of the Bureau's programs is to maximize voluntary compliance with these laws, and to minimize willful and involuntary violations of the laws. To achieve these goals, the Bureau is divided into two basic functions: criminal enforcement and regulatory enforcement. The objectives of the criminal enforcement activity are to eliminate illegal possession and use of firearms, destructive devices, and explosives; suppress the traffic in illicit distilled spirits; suppress the interstate trafficking in contraband cigarettes; and assist State and local law enforcement agencies in reducing crime and violence. The regulatory enforcement activity determines and assures full collection of revenue due from legal alcohol and tobacco industries; fulfills the Bureau's responsibility in the prevention of commercial bribery, consumer deception, and other improper trade practices in the distilled spirits industry; assists other Federal, State, and local governmental agencies in the resolution of problems relating to industrial development, ecology, and revenue protection; ensures that categories of persons prohibited by law from manufacturing, importing, or dealing in firearms and explosives do not obtain a license or permit; ensures that storage facilities for explosives are safe and secure, to avoid presenting a hazard to the public, and that explosives are properly stored in such facilities; and ensures that the audit trail is preserved to permit the tracing of firearms used in the commission of crimes and full accountability for explosive materials.

**United States Secret Service (21.100)** -- Detects and arrests any person committing any offense against the laws of the United States relating to coins, currency, and other obligations, and securities of the United States and of foreign governments; detects and arrests any person violating any of the provisions of sections 508, 509, and 871 of Title 18 of the United States Code; executes warrants issued under the authority of the United States; carry firearms; and perform such other functions and duties as are authorized by law. In addition, subject to the direction of the Secretary of the Treasury, the United States Secret Service is authorized to protect the person of the President of the United States, the members of his immediate family, the President-elect, the Vice President or other officer next in the order of succession to the Office of President, the immediate family of the Vice President, the Vice-President-elect, major Presidential and Vice-Presidential candidates, former Presidents and their wives during his lifetime, widows of former Presidents until their death or remarriage, and minor children of a former President until they reach age 16, and visiting heads of a foreign state or foreign government.

**Office of Revenue Sharing (ORS) (21.300)** -- Returns specified amounts of federally collected funds to eligible units of general purpose governments under the general revenue sharing program.

**Appalachian Regional Commission (23.001-23.017)** -- The Appalachian Regional Commission is a Federal-State governmental agency concerned with the economic, physical, and social development of the 13-State Appalachian region, which includes parts of Alabama, Georgia, Kentucky, Maryland, Mississippi, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, Virginia, and all of West Virginia. The comprehensive goals of the Commission are to provide the people of Appalachia with the health and skills they need to compete for opportunities and to develop a self-sustaining economy and environment capable of supporting a population with rising incomes and standards of living and increasing employment opportunities. To accomplish this task, the Commission has concentrated on areas of development in which there remain great needs throughout the region: community development and housing, education, the environment, health and child development, industrial development and management, tourism, and transportation.

**Civil Aeronautics Board (CAB) (26.002-26.003)** -- Promotes and regulates the civil air transport industry within the United States and between the United States and foreign countries in the interests of the foreign and domestic commerce of the United States, the postal service, and the national defense. The Board grants licenses to provide air transportation service, approves or disapproves proposed rates and fares, and approves or disapproves proposed agreements and corporate relationships involving air carriers. The Board issues rules of general applicability and acts on individual applications. In October 1978, President Carter signed the Airline Deregulation Act, which greatly altered the Board's congressional mandate, reducing its regulatory powers gradually until its scheduled abolition by January 1, 1985.

**Office of Personnel Management (OPM) (27.001-27.013)** -- Administers a merit system for Federal employment, which includes recruiting, examining, training, and promoting people on the basis of their knowledge and skills, regardless of their race, religion, sex, political influence, or other nonmerit factors. OPM's role is to ensure that the Federal Government provides an array of personnel services to applicants and employees. Through a range of programs designed to develop and encourage the effectiveness of the Government employee, OPM supports Government program managers in their personnel management responsibilities and provides benefits to employees directly.

**Commission on Civil Rights (29.001)** -- The role of the Commission on Civil Rights is to advance the cause of equal opportunity. The Commission holds public hearings and collects and studies information on discrimination or denial of equal protection of the laws because of race, color, religion, sex, age, handicap, national origin, or in the administration of justice. Voting rights and equality of opportunity in education, employment, and housing are among specific Commission factfinding efforts. The Commission makes findings of fact but has no enforcement authority. Findings and recommendations are submitted to both the President and the Congress, and many of the Commission's recommendations have been enacted, either by statute, Executive order, or regulation. The Commission evaluates Federal laws and the effectiveness of Government equal opportunity programs. It also serves as a national clearinghouse for civil rights information.

**Equal Employment Opportunity Commission (EEOC) (30.001-30.010)** -- Eliminates discrimination based on race, color, religion, sex, national origin, or age in hiring, promotion, firing, wages, testing, training, apprenticeship, and all other conditions of employment. The Commission also promotes voluntary action programs by employers, unions, and community organizations to make equal employment opportunity an actuality. EEOC also is responsible for all compliance and enforcement activities relating to equal employment opportunity among Federal employees and applicants, including handicap discrimination.

**Federal Communications Commission (FCC) (32.001)** -- Regulates interstate and foreign communications by radio, television, wire, and cable. It is responsible for the orderly development and operation of broadcast services and the provision of rapid, efficient nationwide and worldwide telephone and telegraph services at reasonable rates. This also includes the promotion of safety of life and property through radio and the use of radio and television facilities to strengthen the national defense.

**Federal Maritime Commission (FMC) (33.001)** -- Regulates the waterborne foreign and domestic offshore commerce of the United States, assures that United States international trade is open to all nations on fair and equitable terms, and protects against unauthorized, concerted activity in the waterborne commerce of the United States. This is accomplished through maintaining surveillance over steamship conferences and common carriers by water; assuring that only the rates on file with the Commission are charged; approving agreements between persons subject to the Shipping Act, 1916; guaranteeing equal treatment to shippers, carriers, and other persons subject to the shipping statutes; and ensuring that adequate levels of financial responsibility are maintained for indemnification of passengers and clean-up of oil and hazardous substances spills.

**Federal Mediation and Conciliation Service (FMCS) (34.001-34.002)** -- Represents the public interest by promoting the development of sound and stable labor-management relationships; preventing or minimizing work stoppages by assisting labor and management to settle their disputes through mediation; advocating collective bargaining, mediation, and voluntary arbitration as the preferred processes for settling issues between employers and representatives of employees; developing the art, science, and practice of dispute resolution; and fostering constructive joint relationships of labor and management leaders to increase their mutual understanding and solution of common problems.

**Federal Trade Commission (FTC) (36.001)** -- Maintain strongly competitive enterprises as the keystone of the American economic system. Although the duties of the Commission are many and varied under law, the foundation of public policy underlying all these duties is essentially the same: to prevent the free enterprise system from being stifled, substantially lessened or fettered by monopoly or restraints on trade, or corrupted by unfair or deceptive trade practices. In brief, the Commission is charged with keeping competition both free and fair.

**Foreign Claims Settlement Commission of the United States (37.005-37.011)** -- Determines claims of United States nationals against foreign governments for losses and injuries sustained by them, pursuant to programs which may be authorized under its organic legislation. Available funds have their sources in international settlements, or liquidation of foreign assets in this country by the Departments of Justice or Treasury, and from public funds when provided by the Congress.

**General Services Administration (GSA) (39.001-39.009)** -- Establishes policy and provides for the Government an economical and efficient system for the management of its property and records, including construction and operation of buildings, procurement and distribution of supplies, utilization and disposal of property, transportation, traffic, and communications management, stockpiling of strategic materials, and the management of the Government-wide automatic data processing resources program.

**Government Printing Office (GPO) (40.001-40.002)** -- Executes orders for printing and binding placed by Congress and the departments and establishments of the Federal Government. It furnishes blank paper; inks, and similar supplies to all governmental activities on order. It prepares catalogs and distributes and sells Government publications. GPO invites bids from commercial suppliers on a wide variety of printing and binding services, awards and administers contracts, and maintains liaison between ordering agencies and contractors. GPO sells through mail orders and Government bookstores over 25,000 different publications which originated in various Government agencies, and administers the depository library program through which selected Government publications are made available in libraries throughout the country.

**Interstate Commerce Commission (ICC) (41.001-41.002)** -- Regulates interstate surface transportation, including trains, trucks, buses, inland waterway and coastal shipping, and freight forwarders. The regulatory laws vary with the type of transportation; however, they generally involve certification of carriers seeking to provide transportation for the public, rates, adequacy of service, purchases, and mergers. The ICC assures that the carriers it regulates will provide the public with rates and services that are fair and reasonable.

**Library of Congress (42.001-42.007)** -- Under the organic law, the Library's first responsibility is service to Congress. One department, the Congressional Research Service, functions exclusively for the legislative branch of the Government. As the Library has developed, its range of service has come to include the entire governmental establishment in all its branches and the public at large, so that it has become a national library for the United States. The Library's extensive collections include books and pamphlets on every subject and in a multitude of languages. Among them are the most comprehensive collections of Chinese, Japanese, and Russian language books outside Asia and the Soviet Union; volumes relating to science and legal materials, outstanding for American and foreign law; the world's largest collection of published aeronautical literature; and the most extensive collection of incunabula in the United States. The manuscript collections relate to manifold aspects of American history and civilization and include the personal papers of most of the Presidents from George Washington through Calvin Coolidge. The music collections contain volumes and pieces--manuscript and published--from classic works to the newest popular compositions. Other materials available for research include maps and views; photographic records from the daguerreo-type to the latest news photo; recordings, including folksongs and other music, speeches, and poetry readings; prints, drawings, and posters; government documents, newspapers, and periodicals from all over the world; and motion pictures, microforms, and audio and video tapes. Admission to the various research facilities of the Library is free. No introduction or credentials are required for persons over high school age who wish to read in the general reading rooms; however, certain collections, like those of the Manuscript, Rare Book and Special collections, and Motion Picture, Broadcasting, and Recorded Sound Divisions, can be used only by those with a serious purpose for doing so. The Library is also responsible for copyrights, which are now registered by the Copyright Office. All copyrightable works, whether published or unpublished, are subject to a single system of statutory protection which gives the copyright owner the exclusive right to reproduce the copyrighted work in copies or phonorecords and distribute them to the public by sale, rental, lease, or lending. Works of authorship include books, periodicals, and other literary works, musical compositions, song lyrics, dramas and dramatico-musical compositions, pantomimes and choreographic works, motion pictures and other audiovisual works, and sound recordings. The Library extends its service through an interlibrary loan system; the photo-duplication, at reasonable cost, subject to conditions of law, copyright, and deposit, of books, manuscripts, maps, newspapers, and prints in its collections; the sale of sound recordings, which are released by its Recordings Laboratory; the exchange of duplicates with other institutions; the sale of printed catalog cards and magnetic tapes, and the publication in book form of cumulative catalogs, which make available the results of the expert bibliographical and cataloging work of its technical personnel; a centralized cataloging program whereby the Library of Congress acquires material published all over the world, catalogs it promptly, and distributes cataloging information by printed cards and other means to the Nation's libraries; a Cooperative Machine-Readable Cataloging (COMARC) program, a pilot study to test the feasibility of expanding Library of Congress bibliographic services by accepting the machine-readable cataloging records of other libraries and redistributing them through the MARC Distribution Service; a cataloging-in publication program in cooperation with American publishers for printing cataloging information in current books; the National Serials Data Program, the national center that maintains a record of serial titles to which International Standard Serial Numbers (ISSN) have been assigned and serves, with this file, as the United States Register; and the development of scientific schemes of classification (Library of Congress and Dewey Decimal), subject headings, and cataloging, embracing the entire field of printed matter. The American Folklife Center in the Library of Congress, has a coordinative function both in and outside the Federal establishment to carry out appropriate programs to support, preserve, and present American folklife through such activities as the collection and maintenance of archives, scholarly research, field projects, performances, exhibitions, festivals, workshops, publications, and audiovisual presentations. The Center for the Book was established in the Library of Congress to provide a program for investigating the transmission of human knowledge and to heighten public interest in the role of books and printing in the diffusion of knowledge. Drawing on the resources of the Library Congress, the Center works closely with other organizations to explore important issues in the book and educational communities, to encourage reading, and to encourage research about books and about reading. Its goal is to serve as a useful catalyst by bringing together authors, publishers, librarians, booksellers, educators, scholars, and readers to discuss common concerns and work toward the solution of common problems. The Library provides technical information related to the preservation and restoration of library and archival material. New techniques for preservation or restoration are developed and tested in the Restoration Laboratory. Research on longstanding preservation problems is conducted by the Preservation Research and Testing Office.

**Nation Aeronautics and Space Administration (NASA) (43.001-43.002)** -- Conducts research for the solution of problems of flight within and outside the Earth's atmosphere and develop, construct, test, and operate aeronautical and space vehicles; conduct activities required for the exploration of space with manned and unmanned vehicles; arrange for the most effective utilization of the scientific and engineering resources of the United States with other nations engaged in aeronautical and space activities for peaceful purposes; and to provide for the widest practicable and appropriate dissemination of information concerning NASA's activities and their results.

**National Credit Union Administration (NCUA) (44.001)** -- The National Credit Union Administration (NCUA) Board is responsible for chartering, insuring, supervising, and examining Federal credit unions (FCU's), and for administering the National Credit Union Share Insurance Fund. The Board also manages the Central Liquidity Facility, a mixed-ownership Government corporation whose purpose is to supply emergency loans to member credit unions.

**National Endowment for the Arts (45.001-45.020)** -- Fosters professional excellence of the arts in America, to nurture and sustain them, and to help create a climate in which they may flourish so they may be experienced and enjoyed by the widest possible public.

**National Endowment for the Humanities (45.104-45.149)** -- Promotes and supports the production and dissemination of knowledge in the humanities, especially as it relates to the serious study and discussion of contemporary values and public issues.

**Federal Council on the Arts and the Humanities (45.201)** -- Coordinates the activities of the two Endowments and related programs of other Federal agencies.

**Institute of Museum Services (45.301)** -- Data to be included in Catalog update.

**National Labor Relations Board (NLRB) (46.001)** -- Administers the Nation's laws relating to labor relations. The NLRB is vested with the power to safeguard employees' rights to organize, to determine through elections whether workers want unions as their bargaining representatives, and to prevent and remedy unfair labor practices.

**National Science Foundation (NSF) (47.009-47.060)** -- Promotes the progress of science through the support of research and education in the sciences. Its major emphasis is on basic research, the search for improved understanding of the fundamental laws of nature, upon which our future well-being as a nation is dependent. The National Science Foundation is also involved in applied research directed toward the solution of more immediate problems of our society. Its educational programs are aimed at ensuring increasing understanding of science at all educational levels and an adequate supply of scientists and engineers to meet our country's needs.

**President's Committee on Employment of the Handicapped (53.001)** -- Seeks to identify and eliminate barriers standing in the way of full social and vocational opportunities for physically handicapped, mentally retarded, and mentally restored persons; promotes employment opportunities for the physically and mentally handicapped.

**Railroad Retirement Board (57.001-57.002)** -- Administers retirement-survivor and unemployment-sickness benefit programs provided by Federal laws for the Nation's railroad workers and their families. Under the Railroad Retirement Act, annuities are paid by the Board to rail employees with at least 10 years of service who retire because of age or disability and to their eligible wives. When other requirements are met, annuities are also provided to the surviving widows and children or parents of deceased employees. These retirement-survivor benefit programs are closely coordinated with social security benefit programs and include Medicaid health insurance coverage. Under the Railroad Unemployment Insurance Act, biweekly benefits are payable by the Board to workers with qualifying railroad earnings who become unemployed or sick. About 100 field offices are maintained across the country.

**Securities and Exchange Commission (SEC) (58.001)** -- Provides the fullest possible disclosure to the investing public and protects the interests of the public and investors against malpractices in the securities and financial markets.

**Small Business Administration (SBA) (59.002-59.037)** -- Aids, counsels, assists, and protects the interests of small business; ensure that small business concerns receive a fair proportion of Government purchases, contracts, and subcontracts, as well as of the sales of Government property; make loans to small business concerns, State and local development companies, and the victims of floods or other catastrophes, or of certain types of economic injury; license, regulate, and make loans to small business investment companies; improve the management skills of small business owners, potential owners, and managers; conduct studies of the economic environment; and guarantee surety bonds for small contractors.

**Smithsonian Institution (60.001-60.020)** -- Performs fundamental research; publishes the results of studies, explorations, and investigations; preserves for study and reference over 78 million items of scientific, cultural, and historical interest; maintains exhibits representative of the arts, American history, technology, aeronautics and space explorations, and natural history; participates in the international exchange of learned publications; and engages in programs of education and national and international cooperative research and training, supported by its trust endowments and gifts, grants and contracts, and funds appropriated to it by Congress.

**International Trade Commission (ITC) (61.001)** -- Furnishes studies, reports, and recommendations involving international trade and tariffs to the President, and Congress, and other Government agencies. In this capacity, the Commission conducts a variety of investigations, public hearings, and research projects pertaining to the international policies of the United States.

**Tennessee Valley Authority (TVA) (62.001-62.006)** -- Conducts a unified program of resource development for the advancement of economic growth in the Tennessee Valley region. The Authority's program of activities includes flood control, navigation development, electric power production, fertilizer development, recreation improvement, and forestry and wildlife development. While its power program is financially self-supporting, other programs are financed primarily by appropriations from Congress.

## VETERANS ADMINISTRATION

**Department of Medicine and Surgery (64.001-64.023)** -- Provides hospital, nursing home and domiciliary care, and outpatient medical and dental care to eligible veterans of military service in the Armed Forces. Dependents of certain veterans are provided with medical care supplied by non-VA institutions and physicians. The Department conducts both individual medical and health-care delivery research projects and multi-hospital research programs. It assists in the education of physicians and dentists, and with training of many other health care professionals through affiliations with educational institutions and organizations.

**Department of Veterans Benefits (64.100-64.120)** -- The Compensation and Pension Service has responsibility for: claims for disability compensation and pension; for automobile allowances and special adaptive equipment; claims for specially adapted housing; special clothing allowances; emergency officer's retirement pay; eligibility determinations based on military service for other VA benefits and services or those of other Government agencies; survivor's claims for death compensation, dependency and indemnity compensation, death pension, burial and plot allowance claims; claims for accrued benefits; forfeiture determinations; claims for adjusted compensation in death cases; and claims for reimbursement for headstone or marker. The Education and Rehabilitation Service administers programs for vocational rehabilitation of disabled veterans, readjustment educational benefits for veterans of post-Korean conflict service, and educational assistance for spouses, surviving spouses, and children of veterans who are permanently and totally disabled or die from disability incurred or aggravated in active service in the Armed Forces, or are prisoners of war or are missing in action. Special restorative training is also available to eligible children. The mission is to provide credit assistance whereby the housing credit needs of eligible veterans and active duty service personnel may be satisfied by private capital on more liberal terms than generally available to non-veterans. Assistance is provided chiefly through substituting the Government's guaranty on loans made by private lenders in lieu of the downpayments, shorter terms, and other requirements generally required in conventional home mortgage transactions. Where private capital is not available in non-urban areas, direct loans may be made. In addition, a system of direct financial grants is operated to help certain permanently disabled veterans to acquire specially adapted housing. VA life insurance operations are for the benefit of service members, veterans, and their beneficiaries. In addition, the VA is responsible for: Supervision of the Servicemen's Group Life Insurance (SGLI) and Veterans Group Life Insurance (VGLI) Programs for today's service members and veterans. The Veterans' Insurance Act of 1974 (88 Stat. 165; 38 U.S.C. 765-779), effective May 24, 1974, has substantially amended the law provided for the conversion of SGLI to a 5-year nonrenewable term policy known as Veterans Group Life Insurance (VGLI). At the termination of the 5-year term period, it may be converted to an individual policy with any one of the many participating commercial insurance companies. Supervision of the Veterans Mortgage Life Insurance Program for those disabled veterans who receive a VA grant for specially adapted housing-- under the terms of contractual agreement with a Primary Insurer. VA guarantees the protection of commercial life insurance (up to $10,000) against premium payments for persons while in military or naval service, and 2 years thereafter. Through the Veterans Assistance Service, information, advice, and assistance are provided to veterans, their dependents and beneficiaries, representatives and others in applying for benefits administered by the Veterans Administration. Benefit information and readjustment assistance is provided to recently separated veterans, including professional guidance in resolving socioeconomic, housing, and other related problems. In addition, the Veterans Assistance Service cooperates with the National Alliance of Businessmen, Department of Labor, and other Federal agencies in developing employment opportunities for veterans, including on-the-job and apprenticeship training programs. This service is responsible for maintaining a benefits protection program (fiduciary activities) for minors and incompetent veterans and other incompetent adult beneficiaries. It also provides field-investigative services for other VA components. It ensures compliance by schools and training institutions with VA directives. The Veterans Assistance Service also has the responsibility of providing information regarding veterans benefits to veterans incarcerated in prison, the various branches of the Armed Forces here and abroad and to veterans residing in foreign countries through United States embassies and consular offices; and of coordinating veterans' activities with foreign governments.

**Department of Memorial Affairs (64.200-64.203)** -- Administers the National Cemetery system, which provides cemeterial services to veterans and other eligibles as prescribed by the Administrator of Veterans Affairs pursuant to the provisions of the National Cemeteries Act of 1973 and other statutory authority and regulations. These services also include providing headstones and markers for graves of eligibles in national and private cemeteries and monetary aid to States for establishment, expansion, and improvement of veterans' cemeteries.

**Water Resources Council (WRC) (65.001)** -- Encourages conservation, protection and utilization of water and related land resources on a comprehensive and coordinated basis by the Federal Government, States, localities and private enterprise; and to implement Presidential directives and policies.

## ENVIRONMENTAL PROTECTION AGENCY

**Office of Air, Noise, and Radiation (66.001-66.009)** -- Develops national programs, technical policies, and regulations for air pollution control; develops national standards for air quality, emission standards for new stationary sources, and emission standards for hazardous pollutants; technical direction, support, and evaluation of regional air activities; and provision of training in the field of air pollution control. Related activities include study, identification, and regulation of noise sources and control methods; technical assistance to States and agencies having radiation protection programs; a national surveillance and inspection program for measuring radiation levels in the environment.

**Office of Solid Waste (66.418-66.451)** -- Develops national programs, technical policies, and regulations for water pollution control and water supply; water quality standards and effluent guidelines development; technical direction, support, and evaluation of regional water activities; develops programs for technical assistance and technology transfer; and provision of training in the field of water quality; analyses, guidelines, and standards for the land disposal of hazardous wastes; technical assistance in the development, management, and operation of waste management activities; analyses on the recovery of useful energy from solid waste.

**Office of Research and Development (66.500-66.507)** -- The office of the Assistant Administrator for Research and Development is responsible for a national research program in pursuit of technological controls of all forms of pollution. It directly supervises the research activitives of EPA's national laboratories and gives technical policy direction to those laboratories ehich support the program responsibilities of EPA's regional offices. Close coordination of the various research programs is designed to yield a synthesis of knowledge from the biological, physical, and social sciences which can be interpreted in terms of total human and environmental needs. General functions include management of selected demonstration programs, planning for Agency monitoring efforts with those of other Federal agencies, the States, and other public bodies, and dissemination of Agency research, development, and demonstration results.

**Office of Planning and Management (66.600-66.603)** -- Data to be included in Catalog update.

**Office of Enforcement (66.700)** -- Provides policy direction to enforcement activities in air, water, toxic substances, solid waste management, radiation, and noise control programs; plans and coordinates enforcement conferences, public hearings, and other legal proceedings; and engages in other activities related to enforcement of standards to protect the Nation's environment.

**National Gallery of Art (NGA) (68.001)** -- The National Gallery's collections embrace every major school of western European art from the 13th century to the present and of American art from colonial days to the present. A professor-in-residence position is filled annually by a distinguished scholar in the field of art history; graduate and postgraduate research is conducted under a fellowship program; programs for school children and the general public are conducted daily; and an Extension Service distributes on loan, throughout the world, audiovisual materials, including films, slide lectures, and slide sets.

**Overseas Private Investment Corporation (OPIC) (70.002-70.005)** -- Data to be included in Catalog update.

**ACTION (72.001-72.013)** -- Administers and coordinates the domestic and international volunteer programs sponsored by the Federal Government, which are linked by a commitment to a 'bottom-up' development process which fosters self-reliance and utilizes available human and economic resources to overcome conditions of poverty. Through special demonstration grants and programs, ACTION also tests new ways of bringing volunteer resources to bear on human, social, and economic problems. It identifies and develops the widest possible range of volunteer service opportunities for Americans of all ages and ethnic backgrounds.

**Nuclear Regulatory Commission (NRC) (77.001-77.003)** -- Licenses and regulates the uses of nuclear energy to protect the public health and safety and the environment. It does this by licensing persons and companies to build and operate nuclear reactors and to own and use nuclear materials. The NRC makes rules and sets standards for these types of licenses. The NRC also carefully inspects the activities of the persons and companies licensed to ensure that they do not violate the safety rules of the Commission.

**Commodity Futures Trading Commission (CFTC) (78.002-78.004)** -- Strengthens the regulation of futures trading, and to bring under regulation all agricultural and other commodities, including lumber and metals, which are traded on commodity exchanges. Major purposes of the trading regulation are to prevent price manipulation, market corners, and the dissemination of false and misleading commodity and market information affecting commodity prices. Other responsibilities are to protect market users against cheating, fraud, and abusive practices in commodity transactions and to safeguard the handling of traders' margin money and equities by establishing minimum financial requirements for futures commission merchants and by preventing the misuse of such funds by brokers.

**Department of Energy (DOE) (81.002-81.075)** -- Provides the framework for a comprehensive and balanced national energy plan through the coordination and administration of the energy functions of the Federal Government. The Department is responsible for the research, development, and demonstration of energy technology; the marketing of Federal power; energy conservation; the nuclear weapons program; regulation of energy production and use; pricing and allocation; and a central energy data collection and analysis program. Of primary concern to the Department are the promotion of consumer interests and the encouragement of competition in the energy industries, as well as the protection of the Nation's environment and the health and safety of its citizens.

**International Communication Agency (ICA) (82.001-82.002)** -- Conducts international communication, educational, cultural, and exchange programs designed to build two-way bridges of understanding between the people of the United States and the other peoples of the world. The agency engages in a wide variety of communication activities--from academic and cultural exchanges to international broadcasting to press, film, seminar, library, and cultural center programs abroad to accomplish its goals of telling the world about the society and policies of the United States and telling Americans about the world. The agency also has the responsibility to report to the President and the Secretary of State, as well as to advise the National Security Council, on worldwide public opinion as it is relevant to the formulation and conduct of U.S. foreign policy.

## FEDERAL EMERGENCY MANAGEMENT AGENCY

**United States Fire Administration (USFA) (83.002-83.007)** -- Administers authorities contained in the Federal Fire Prevention and Control Act of 1974 (88 Stat. 1535; 15 U.S.C.2201), the goal of which is to reduce national fire loss. The Administration conducts and supports training, planning, and education efforts for fire service and other Federal, State, and local government personnel and the public at large. This is done through the United States Fire Academy in Emmitsburg, Maryland, and through the development and dissemination of training and instructional materials. Through the Fire Research Center at the National Bureau of Standards, USFA supports activities to decrease fire-caused deaths, injuries, and economic losses and to improve the effectiveness of fire protection. The Administration maintains a national fire data center to collect, assess, and disseminate information in a standard format to assist in decisionmaking on the nature of the fire problem and alternative strategies for reducing losses.

**Federal Insurance Administration (FIA) (83.100-83.102)** -- Administers the National Flood Insurance program which makes flood insurance available nationwide on an equitable basis and works closely with government officials at all levels to help reduce the potential for future damage in identified flood hazard areas. The Administration assists State insurance authorities and the property insurance industry to carry out programs that will make necessary property insurance more readily available for properties meeting reasonable underwriting standards. The Administration also provides a Federal reinsurance program against property insurance losses resulting from riots and other civil disturbances and provides direct insurance to properties for which statewide programs and Federal reinsurance either do not make crime insurance available or offer it only at prohibitive cost.

**National Education Training Center (83.400-83.405)** -- Defines cooperation with FEMA program offices, the agency training and education requirements and directs the development of appropriate training and education materials and deployment systems. The Center designs and manages the training and education activities for FEMA's operating programs, evaluates the effectiveness of these activities, and develops appropriate recommendations for change. The Center also directs the operations of the Emergency Management Institute, which provides in-residence training in civil management preparedness activities to Federal, State, and local government officials.

**State and Local Programs and Support (83.500-83.516)** -- Data to be included in Catalog update.

## DEPARTMENT OF EDUCATION

**Department of Education (84.002-84.152)** -- Establishes policy, administers, and coordinates most Federal assistance to education.

**Office of the Secretary** -- Advises the President on education plans, policies, and programs of the Federal Government. Carries out certain Federal responsibilities for four federally aided corporations: the American Printing House for the Blind, Gallaudet College, Howard University, and the National Technical Institute for the Deaf.

**Intergovernmental Advisory Council on Education** -- Makes recommendations to the Secretary and the President for the improvement of the administration and operation of Federal education programs.

**Federal Interagency Committee on Education** -- Studies and recommends methods for assuring effective coordination of Federal programs, policies, and administrative practices affecting education.

**Bilingual Education and Minority Language Affairs** -- Ensures access to equal educational opportunity and improves the quality of programs for limited English proficient and minority languages populations by providing support for programs, activities, and management initiatives that meet the special educational needs of those populations. The Office also provides assistance for the development, adoption, and implementation of plans for the desegregation of public schools.

**Non-Public Education** -- Ensures the maximum potential participation of private school students and staff in all Federal education programs for which they are eligible. This is accomplished through the Office's participation in the formulation and development of relevant Department policy; cooperation and coordination with program offices in their implementation activities related to private education, development and dissemination of information to the private school community; and through advising the Secretary on general matters relating to private education.

**Civil Rights** -- Responsible for the administration and enforcement of civil rights laws related to education and the handicapped, for ensuring compliance in programs and activities receiving Federal financial assistance and by employers holding Federal contracts.

**Elementary and Secondary Education** -- Formulates policy, directs, and coordinates the activities relating to pre-school, elementary, and secondary education in the Department. Included are programs of grants to State educational agencies and local school districts for Indian and migrant education, programs of financial and technical assistance to school districts to meet special needs incident to the elimination of racial segregation and discrimination, and grants for the education of neglected and delinquent students.

**Educational Research and Improvement** -- Administers functions of the Department concerning research, development, demonstration, dissemination, and assessment, administers a wide array of discretionary grant programs to maximize individual program impact on school improvement.

**Harry S. Truman Scholarship Foundation (85.001)** -- Awards college scholarships of up to $5 thousand annually for 4 years to persons who demonstrate outstanding potential for and who are preparing to pursue a career in public service.

**Pension Benefit Guaranty Corporation (PBGC) (86.001)** -- Establishes a basic benefits insurance program, which guarantees payment of basic benefits under the terms for a private sector covered pension plan should the plan terminate and not be able to provide these benefits. the program currently covers single employer defined benefit private plans. However, the act limits the total monthly benefit that PBGC can guarantee for one individual to $1,159.09 per month for plans terminating during 1980, and requires PBGC to guarantee certain benefit increases on a phased-in basis. The Corporation is not required to guarantee benefits of covered multi-employer plans which terminate prior to May 1, 1980, but may cover such plans at its discretion.

**Consumer Product Safety Commission (87.001)** -- Protects the public against unreasonable risks of injury from consumer products; to assist consumers to evaluate the comparative safety of consumer products; to develop uniform safety standards for consumer products and minimize conflicting State and local regulations; and to promote research and investigation into the causes and prevention of product-related deaths, illnesses, and injuries.

# AGENCY PROGRAM INDEX

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| *The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A—Formula Grants; B—Project Grants; C—Direct Payments for Specified Use; D—Direct Payments with Unrestricted Use; E—Direct Loans; F—Guaranteed/Insured Loans; G—Insurance; H—Sale, Exchange, or Donation of Property and Goods; I—Use of Property, Facilities, and Equipment; J—Provision of Specialized Services; K—Advisory Services and Counseling; L—Dissemination of Technical Information; M—Training; N—Investigation of Complaints; O—Federal Employment.*<br>*Included in the Agency Program Index is a chart to help users distinguish programs that provide financial assistance from those providing services and technical assistance. There is also a column included which lists those programs that provide both financial and non-financial assistance.* | | | |
| **DEPARTMENT OF AGRICULTURE** | | | |
| **AGRICULTURE RESEARCH SERVICE** | | | |
| 10.001 Agricultural Research—Basic and Applied Research (B,L) | | | X |
| **ANIMAL AND PLANT HEALTH INSPECTION SERVICE** | | | |
| 10.025 Plant and Animal Disease and Pest Control (J,L) | | X | |
| **AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE** | | | |
| 10.051 Commodity Loans and Purchases (D,E) | X | | |
| 10.052 Cotton Production Stabilization (D) | X | | |
| 10.053 Dairy Indemnity Payments (D) | X | | |
| 10.054 Emergency Conservation Program (C) | X | | |
| 10.055 Feed Grain Production Stabilization (D) | X | | |
| 10.056 Storage Facilities and Equipment Loans (E) | X | | |
| 10.058 Wheat Production Stabilization (D) | X | | |
| 10.059 National Wool Act Payments (D) | X | | |
| 10.062 Water Bank Program (C) | X | | |
| 10.063 Agricultural Conservation Program (C) | X | | |
| 10.064 Forestry Incentives Program (C) | X | | |
| 10.065 Rice Production Stabilization (D) | X | | |
| 10.066 Emergency Feed Program (D) | X | | |
| 10.067 Grain Reserve Program (D) | X | | |
| 10.068 Rural Clean Water Program (C) | X | | |
| **AGRICULTURAL MARKETING SERVICE** | | | |
| 10.153 Market News (L) | | X | |
| 10.154 Market Supervision and Assistance (J,K,M) | | X | |
| 10.155 Marketing Agreements and Orders (J,K) | | X | |
| 10.156 Federal-State Marketing Improvement Program (B) | X | | |
| 10.162 Inspection Grading and Standardization (J) | | X | |
| 10.163 Market Protection and Promotion (J,K,M) | | X | |
| 10.164 Wholesale Market Development (K) | | X | |
| 10.165 Perishable Agricultural Commodities Act (N) | | X | |
| **COOPERATIVE STATE RESEARCH SERVICE** | | | |
| 10.200 Grants for Agricultural Research, Special Research Grants (B) | X | | |
| 10.202 Cooperative Forestry Research (A) | X | | |
| 10.203 Payments to Agricultural Experiment Stations Under Hatch Act (A) | X | | |
| 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee Institute (A) | X | | |
| 10.206 Grants for Agricultural Research—Competitive Research Grants (B) | X | | |
| 10.207 Animal Health and Disease Research (A) | X | | |
| 10.208 Alcohol Fuels Research (B) | X | | |
| **ECONOMIC RESEARCH SERVICE** | | | |
| 10.250 Agricultural and Rural Economic Research (L) | | X | |
| **AGRICULTURAL COOPERATIVE SERVICE** | | | |
| 10.350 Technical Assistance to Cooperatives (K,L) | | X | |
| **HUMAN NUTRITION INFORMATION SERVICE** | | | |
| 10.375 Human Nutrition Information Service (L) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **FARMERS HOME ADMINISTRATION** | | | |
| 10.404 Emergency Loans (F) | X | | |
| 10.405 Farm Labor Housing Loans and Grants (B,F) | X | | |
| 10.406 Farm Operating Loans (F) | X | | |
| 10.407 Farm Ownership Loans (F) | X | | |
| 10.408 Grazing Association Loans (F) | X | | |
| 10.409 Irrigation, Drainage, and Other Soil and Water Conservation Loans (F) | X | | |
| 10.410 Low to Moderate Income Housing Loans (F) | X | | |
| 10.411 Rural Housing Site Loans (E,F) | X | | |
| 10.413 Recreation Facility Loans (F) | X | | |
| 10.414 Resource Conservation and Development Loans (F) | X | | |
| 10.415 Rural Rental Housing Loans (F) | X | | |
| 10.416 Soil and Water Loans (F) | X | | |
| 10.417 Very Low-Income Housing Repair Loans and Grants (B,E) | X | | |
| 10.418 Water and Waste Disposal Systems for Rural Communities (B,E) | X | | |
| 10.419 Watershed Protection and Flood Prevention Loans (F) | X | | |
| 10.420 Rural Self-Help Housing Technical Assistance (B) | X | | |
| 10.421 Indian Tribes and Tribal Corporation Loans (F) | X | | |
| 10.422 Business and Industrial Loans (F) | X | | |
| 10.423 Community Facilities Loans (F) | X | | |
| 10.427 Rural Rental Assistance Payments (C) | X | | |
| 10.428 Economic Emergency Loans (F) | X | | |
| 10.430 Energy Impacted Area Development Assistance Program (B) | X | | |
| 10.431 Technical and Supervisory Assistance Grants (B) | X | | |
| **FEDERAL CROP INSURANCE CORPORATION** | | | |
| 10.450 Crop Insurance (G) | X | | |
| **FOOD SAFETY AND INSPECTION SERVICE** | | | |
| 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B) | X | | |
| 10.477 Meat and Poultry Inspection (J) | | X | |
| **EXTENSION SERVICE** | | | |
| 10.500 Cooperative Extension Service (A) | X | | |
| **FOOD AND NUTRITION SERVICE** | | | |
| 10.550 Food Distribution (A,H) | | | X |
| 10.551 Food Stamps (C) | X | | |
| 10.553 School Breakfast Program (A) | X | | |
| 10.555 National School Lunch Program (A) | X | | |
| 10.556 Special Milk Program for Children (A) | X | | |
| 10.557 Special Supplemental Food Program for Women, Infants, and Children (A) | X | | |
| 10.558 Child Care Food Program (A,H) | | | X |
| 10.559 Summer Food Service Program for Children (A) | X | | |
| 10.560 State Administrative Expenses for Child Nutrition (A) | X | | |
| 10.561 State Administrative Matching Grants for Food Stamp Program (A) | X | | |
| 10.564 Nutrition Education and Training Program (A) | X | | |
| 10.565 Commodity Supplemental Food Program (A,B,H) | | | X |
| **FOREST SERVICE** | | | |
| 10.652 Forestry Research (B) | X | | |
| 10.663 Young Adult Conservation Corps—Grants to States (B) | X | | |
| 10.664 Cooperative Forestry Assistance (A,B) | X | | |
| 10.665 Schools and Roads—Grants to States (A) | X | | |
| 10.666 Schools and Roads—Grants to Counties (A) | X | | |
| 10.667 School Funds—Grants to Arizona (A) | X | | |
| 10.668 Additional Lands—Grants to Minnesota (A) | X | | |
| 10.669 Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area (B) | X | | |
| **NATIONAL AGRICULTURAL LIBRARY** | | | |
| 10.700 National Agricultural Library (L) | | X | |
| **PACKERS AND STOCKYARD ADMINISTRATION** | | | |
| 10.800 Livestock and Poultry Market Supervision (N) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **RURAL ELECTRIFICATION ADMINISTRATION** | | | |
| 10.850 Rural Electrification Loans and Loan Guarantees (F) | X | | |
| 10.851 Rural Telephone Loans and Loan Guarantees (F) | X | | |
| 10.852 Rural Telephone Bank Loans (E) | X | | |
| **SOIL CONSERVATION SERVICE** | | | |
| 10.900 Great Plains Conservation (C,K) | | | X |
| 10.901 Resource Conservation and Development (B,K) | | | X |
| 10.902 Soil and Water Conservation (K) | | X | |
| 10.903 Soil Survey (L) | | X | |
| 10.904 Watershed Protection and Flood Prevention (B,K) | | | X |
| 10.905 Plant Materials for Conservation (H) | | X | |
| 10.906 River Basin Surveys and Investigations (J,K) | | X | |
| 10.907 Snow Survey and Water Supply Forecasting (L) | | X | |
| 10.908 Inventory and Monitoring (L) | | X | |
| 10.909 Resource Appraisal and Program Development (B,L) | | | X |
| 10.910 Rural Abandoned Mine Program (C,K) | | | X |
| **STATISTICAL REPORTING SERVICE** | | | |
| 10.950 Agriculture Statistical Reports (L) | | X | |
| **DEPARTMENT OF COMMERCE** | | | |
| **BUREAU OF THE CENSUS** | | | |
| 11.001 Census Bureau Data Products (L) | | X | |
| 11.002 Census Data User Services (K,L,M) | | X | |
| 11.003 Census Geography (J,L) | | X | |
| 11.004 Census Intergovernmental Services (K,L,M) | | X | |
| 11.005 Census Special Tabulations and Services (J,L) | | X | |
| 11.006 Personal Census Search (J) | | X | |
| **BUREAU OF ECONOMIC ANALYSIS** | | | |
| 11.025 Measures and Analyses of the U.S. Economy (L) | | X | |
| 11.027 Productivity and Economic Growth (L) | | X | |
| 11.050 Business Assistance, Services, and Information (K) | | X | |
| **INTERNATIONAL TRADE ADMINISTRATION** | | | |
| 11.100 Export Licensing Service and Information (K) | | X | |
| 11.105 Importation of Duty-Free Educational and Scientific Materials (J) | | X | |
| 11.106 Antidumping Duties (J,N) | | X | |
| 11.107 Countervailing Duty on Imports (J,N) | | X | |
| 11.108 International Trade Promotion (K) | | X | |
| 11.109 Trade Adjustment Assistance (TAA) (E,F) | X | | |
| **ECONOMIC DEVELOPMENT ADMINISTRATION** | | | |
| 11.300 Economic Development—Grants for Public Works and Development Facilities (B) | X | | |
| 11.301 Economic Development—Business Development Assistance (E,F) | X | | |
| 11.302 Economic Development—Support for Planning Organizations (B) | X | | |
| 11.303 Economic Development—Technical Assistance (B) | X | | |
| 11.304 Economic Development—Public Works Impact Projects (B) | X | | |
| 11.305 Economic Development—State and Local Economic Development Planning (B) | X | | |
| 11.306 Economic Development—District Operational Assistance (B) | X | | |
| 11.307 Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) | X | | |
| **NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION** | | | |
| 11.400 Geodetic Surveys and Services (J,K,L) | | X | |
| 11.401 Nautical Charts and Related Data (J,K,L) | | X | |
| 11.402 Marine Boundary Program (J,K,L) | | X | |
| 11.405 Anadromous and Great Lakes Fisheries Conservation (B) | X | | |
| 11.407 Commercial Fisheries Research and Development (A) | X | | |
| 11.408 Fishermen's Contingency Fund (C) | X | | |
| 11.409 Fishing Vessel and Gear Damage Compensation Fund (C) | X | | |
| 11.410 Fishermen's Guaranty Fund (G) | X | | |
| 11.411 Fishery Cooperative Services (K,L) | | X | |
| 11.413 Fishery Products Inspection and Certification (J) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 11.415 Fishing Vessel Obligation Guarantees (F) | X | | |
| 11.417 Sea Grant Support (B) | X | | |
| 11.419 Coastal Zone Management Program Administration (B) | X | | |
| 11.420 Coastal Zone Management Estuarine Sanctuaries (B) | X | | |
| 11.421 Coastal Energy Impact Program—Formula Grants (A) | X | | |
| 11.422 Coastal Energy Impact Program—Planning Grants (B) | X | | |
| 11.423 Coastal Energy Impact Program—Loans and Guarantees (E) | X | | |
| 11.424 Coastal Energy Impact Program—Environmental Grants (B) | X | | |
| 11.425 Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) | X | | |
| 11.426 Financial Assistance for Marine Pollution Research (B) | X | | |
| 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B) | X | | |
| 11.428 Intergovernmental Climate—Demonstration Project (B) | X | | |
| **NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION** | | | |
| 11.550 Public Telecommunications Facilities (B) | X | | |
| 11.551 Public Telecommunications Services Program (B) | X | | |
| **NATIONAL BUREAU OF STANDARDS** | | | |
| 11.601 Calibration and Testing Services (L) | | X | |
| 11.603 National Standard Reference Data System (L) | | X | |
| 11.604 Standard Reference Materials (L) | | X | |
| 11.606 Weights and Measures Service (K,L,M) | | X | |
| **NATIONAL TECHNICAL INFORMATION SERVICE** | | | |
| 11.650 National Technical Information Service (L) | | X | |
| 11.651 Science Information Exchange, Inc. (L) | | X | |
| **MINORITY BUSINESS DEVELOPMENT AGENCY** | | | |
| 11.800 Minority Business Development—Management and Technical Assistance (B) | X | | |
| **PATENT AND TRADEMARK OFFICE** | | | |
| 11.900 Patent and Trademark Technical Information Dissemination (L) | | X | |
| **DEPARTMENT OF DEFENSE** | | | |
| **DEFENSE LOGISTICS AGENCY** | | | |
| 12.001 Industrial Equipment Loans to Educational Institutions (I) | | X | |
| **DEPARTMENT OF THE ARMY, OFFICE OF THE CHIEF OF ENGINEERS** | | | |
| 12.100 Aquatic Plant Control (J,L) | | X | |
| 12.101 Beach Erosion Control Projects (J) | | X | |
| 12.102 Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (J) | | X | |
| 12.103 Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (J) | | X | |
| 12.104 Flood Plain Management Services (K,L) | | X | |
| 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J) | | X | |
| 12.106 Flood Control Projects (J) | | X | |
| 12.107 Navigation Projects (J) | | X | |
| 12.108 Snagging and Clearing for Flood Control (J) | | X | |
| 12.109 Protection, Clearing and Straightening Channels (J) | | X | |
| 12.110 Planning Assistance to States (J) | | X | |
| **DEPARTMENT OF THE ARMY, NATIONAL GUARD BUREAU** | | | |
| 12.400 Military Construction, Army National Guard (B) | X | | |
| **U.S. SOLDIERS' AND AIRMEN'S HOME** | | | |
| 12.500 U.S. Soldiers' and Airmen's Home (J) | | X | |
| **OFFICE OF THE ASSISTANT SECRETARY (INSTALLATIONS AND LOGISTICS)** | | | |
| 12.600 Community Economic Adjustment (J,K) | | X | |
| 12.606 Selected Reserve Educational Assistance Program (C) | X | | |
| **SECRETARIES OF MILITARY DEPARTMENTS** | | | |
| 12.700 Donations/Loans of Obsolete DOD Property (I) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **DEPARTMENT OF HEALTH AND HUMAN SERVICES** | | | |
| **PUBLIC HEALTH SERVICE-I** | | | |
| 13.103 Food and Drug Administration—Research (B) | X | | |
| 13.108 Health Education Assistance Loans (F) | X | | |
| 13.110 Maternal and Child Health Federal Consolidated Programs (B) | X | | |
| 13.111 Adolescent Family Life Research Grants (B) | X | | |
| 13.217 Family Planning Projects (B) | X | | |
| 13.224 Community Health Centers (B) | X | | |
| 13.226 Health Services Research and Development—Grants (B) | X | | |
| 13.228 Indian Health Services—Health Management Development Program (B) | X | | |
| 13.242 Mental Health Research Grants (B) | X | | |
| 13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L) | | X | |
| 13.244 Mental Health Clinical or Service Related Training Grants (B) | X | | |
| 13.246 Migrant Health Centers Grants (B) | X | | |
| 13.256 Health Maintenance Organizations (B,E,F) | X | | |
| 13.258 National Health Service Corps (J) | | X | |
| 13.260 Family Planning Services (B) | X | | |
| 13.262 Occupational Safety and Health Research Grants (B) | X | | |
| 13.263 Occupational Safety and Health—Training Grants (B) | X | | |
| 13.268 Childhood Immunization Grants (B) | X | | |
| 13.271 Alcohol Research Scientist Development and Research Scientist Awards (B) | X | | |
| 13.272 Alcohol National Research Service Awards for Research Training (B) | X | | |
| 13.273 Alcohol Research Programs (B) | X | | |
| 13.274 Alcohol Clinical or Service Related Training Programs (B) | X | | |
| 13.277 Drug Abuse Research Scientist Development and Research Scientist Awards (B) | X | | |
| 13.278 Drug Abuse National Research Service Awards for Research Training (B) | X | | |
| 13.279 Drug Abuse Research Programs (B) | X | | |
| 13.280 Drug Abuse Clinical or Service Related Training Programs (B) | X | | |
| 13.281 Mental Health Research Scientist Development and Research Scientist Awards (B) | X | | |
| 13.282 Mental Health National Research Service Awards for Research Training (B) | X | | |
| 13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M) | | X | |
| 13.288 National Health Service Corps Scholarship Program (B) | X | | |
| 13.289 President's Council on Physical Fitness and Sports (J,K,L,M) | | X | |
| 13.293 State Health Planning and Development Agencies (B) | X | | |
| 13.294 Health Planning—Health Systems Agencies (B) | X | | |
| 13.297 National Research Service Awards (B) | X | | |
| 13.298 Nurse Practitioner Training Program and Nurse Practitioner Traineeships (B) | X | | |
| 13.299 Advanced Nurse Training Program (B) | X | | |
| 13.306 Laboratory Animal Sciences and Primate Research (B) | X | | |
| 13.333 Clinical Research (B) | X | | |
| 13.337 Biomedical Research Support (B) | X | | |
| 13.339 Health Professions—Capitation Grants (B) | X | | |
| 13.342 Health Professions—Student Loans (B) | X | | |
| 13.358 Professional Nurse Traineeships (B) | X | | |
| 13.359 Nurse Training Improvement—Special Projects (B) | X | | |
| 13.361 Nursing Research Project Grants (B) | X | | |
| 13.363 Nursing Scholarships (B) | X | | |
| 13.364 Nursing Student Loans (B) | X | | |
| 13.371 Biotechnology Research (B) | X | | |
| 13.375 Minority Biomedical Research Support (B) | X | | |
| 13.379 Grants for Graduate Training in Family Medicine (B) | X | | |
| 13.381 Health Professions—Financial Distress Grants (B) | X | | |
| 13.384 Health Professions—Start-Up Assistance (B) | X | | |
| 13.392 Cancer—Construction (B) | X | | |
| 13.393 Cancer Cause and Prevention Research (B) | X | | |
| 13.394 Cancer Detection and Diagnosis Research (B) | X | | |
| 13.395 Cancer Treatment Research (B) | X | | |
| 13.396 Cancer Biology Research (B) | X | | |
| 13.397 Cancer Centers Support (B) | X | | |
| 13.398 Cancer Research Manpower (B) | X | | |
| 13.399 Cancer Control (B) | X | | |
| **OFFICE OF HUMAN DEVELOPMENT SERVICES** | | | |
| 13.600 Administration for Children, Youth and Families—Head Start (B) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 13.608 Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B) | X | | |
| 13.612 Native American Programs—Financial Assistance Grants (B) | X | | |
| 13.613 Mental Retardation—President's Committee on Mental Retardation (L) | | X | |
| 13.623 Administration for Children, Youth and Families—Runaway Youth (B) | X | | |
| 13.628 Child Abuse and Neglect Prevention and Treatment (A,B) | X | | |
| 13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) | X | | |
| 13.631 Administration on Developmental Disabilities—Special Projects (B) | X | | |
| 13.632 Administration on Developmental Disabilities—University Affiliated Facilities (B) | X | | |
| 13.633 Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers (A) | X | | |
| 13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services (A) | X | | |
| 13.645 Child Welfare Services—State Grants (A) | X | | |
| 13.646 Work Incentive Program (A) | X | | |
| 13.647 Social Services Research and Demonstration (B) | X | | |
| 13.648 Child Welfare Services Training Grants (B) | X | | |
| 13.652 Administration for Children, Youth and Families—Adoption Opportunities (B) | X | | |
| 13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes (B) | X | | |
| 13.658 Foster Care—Title IV—E (A) | X | | |
| 13.659 Adoption Assistance (A) | X | | |
| 13.661 Native American Programs—Research, Demonstration, and Evaluation (B) | X | | |
| 13.662 Native American Programs—Training and Technical Assistance (B) | X | | |
| 13.665 Community Services Block Grant (A) | X | | |
| 13.667 Social Services Block Grant (A) | X | | |
| 13.668 Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B) | X | | |
| **OFFICE OF THE SECRETARY** | | | |
| 13.675 Civil Rights Compliance Activities (L,N) | | X | |
| 13.676 Surplus Property Utilization (H) | | X | |
| 13.678 Consumer Affairs (K,L) | | X | |
| 13.679 Child Support Enforcement (A,J) | | | X |
| **HEALTH CARE FINANCING ADMINISTRATION** | | | |
| 13.714 Medical Assistance Program (A) | X | | |
| 13.766 Health Financing Research, Demonstrations and Experiments (B) | X | | |
| 13.773 Medicare—Hospital Insurance (C) | X | | |
| 13.774 Medicare—Supplementary Medical Insurance (C) | X | | |
| 13.775 State Medicaid Fraud Control Units (A) | X | | |
| 13.776 Professional Standards Review Organizations (B) | X | | |
| 13.777 State Health Care Providers Survey Certification (A,B) | X | | |
| **SOCIAL SECURITY ADMINISTRATION** | | | |
| 13.802 Social Security—Disability Insurance (D) | X | | |
| 13.803 Social Security—Retirement Insurance (D) | X | | |
| 13.804 Social Security—Special Benefits for Persons Aged 72 and Over (D) | X | | |
| 13.805 Social Security—Survivors Insurance (D) | X | | |
| 13.806 Special Benefits for Disabled Coal Miners (D) | X | | |
| 13.807 Supplemental Security Income (D) | X | | |
| 13.808 Assistance Payments—Maintenance Assistance (A) | X | | |
| 13.810 Assistance Payments—State and Local Training (A) | X | | |
| 13.812 Assistance Payments—Research (B) | X | | |
| 13.814 Refugee Assistance—State Administered Programs (D) | X | | |
| 13.815 Refugee Assistance—Voluntary Agency Programs (B) | X | | |
| 13.817 Entrant Assistance—Cuban and Haitian Entrants (D) | X | | |
| 13.818 Low-Income Home Energy Assistance (A) | X | | |
| **PUBLIC HEALTH SERVICE-II** | | | |
| 13.820 Scholarships for First-Year Students of Exceptional Financial Need (B) | X | | |
| 13.821 Physiology and Biomedical Engineering (B) | X | | |
| 13.822 Health Careers Opportunity Program (B) | X | | |
| 13.823 Primary Care Research and Demonstration Projects (B) | X | | |
| 13.824 Area Health Education Centers (B) | X | | |
| 13.837 Heart and Vascular Diseases Research (B) | X | | |
| 13.838 Lung Diseases Research (B) | X | | |
| 13.839 Blood Diseases and Resources Research (B) | X | | |
| 13.840 Caries Research (B) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 13.841 Periodontal Diseases Research (B) | X | | |
| 13.842 Craniofacial Anomalies Research (B) | X | | |
| 13.843 Restorative Materials Research (B) | X | | |
| 13.844 Pain Control and Behavioral Studies (B) | X | | |
| 13.845 Dental Research Institutes (B) | X | | |
| 13.846 Arthritis, Musculoskeletal and Skin Diseases Research (B) | X | | |
| 13.847 Diabetes, Endocrinology and Metabolism Research (B) | X | | |
| 13.848 Digestive Diseases and Nutrition Research (B) | X | | |
| 13.849 Kidney Diseases, Urology and Hematology Research (B) | X | | |
| 13.853 Clinical Research (B) | X | | |
| 13.854 Biological Basis Research (B) | X | | |
| 13.855 Immunology, Allergic and Immunologic Diseases Research (B) | X | | |
| 13.856 Microbiology and Infectious Diseases Research (B) | X | | |
| 13.859 Pharmacological Sciences (B) | X | | |
| 13.862 Genetics Research (B) | X | | |
| 13.863 Cellular and Molecular Basis of Disease Research (B) | X | | |
| 13.864 Population Research (B) | X | | |
| 13.865 Research for Mothers and Children (B) | X | | |
| 13.866 Aging Research (B) | X | | |
| 13.867 Retinal and Choroidal Diseases Research (B) | X | | |
| 13.868 Corneal Diseases Research (B) | X | | |
| 13.869 Cataract Research (B) | X | | |
| 13.870 Glaucoma Research (B) | X | | |
| 13.871 Strabismus, Amblyopia and Visual Processing (B) | X | | |
| 13.878 Soft Tissue Stomatology and Nutrition Research (B) | X | | |
| 13.879 Medical Library Assistance (B) | X | | |
| 13.880 Minority Access to Research Careers (B) | X | | |
| 13.884 Grants for Residency Training in General Internal Medicine and/or General Pediatrics (B) | X | | |
| 13.886 Grants for Physician Assistant Training Program (B) | X | | |
| 13.891 Alcohol Research Center Grants (B) | X | | |
| 13.892 Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) | X | | |
| 13.893 Mechanisms of Environmental Diseases and Disorders (B) | X | | |
| 13.894 Environmental Health Research and Manpower Development Resources (B) | X | | |
| 13.895 Grants for Faculty Development in Family Medicine (B) | X | | |
| 13.896 Grants for Predoctoral Training in Family Medicine (B) | X | | |
| 13.897 Residency Training in the General Practice of Dentistry (B) | X | | |
| **PUBLIC HEALTH SERVICE-III** | | | |
| 13.962 Health Administration Graduate Traineeships (B) | X | | |
| 13.963 Graduate Programs in Health Administration (B) | X | | |
| 13.964 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (B) | X | | |
| 13.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B) | X | | |
| 13.969 Curriculum Development Grants (B) | X | | |
| 13.970 Health Professions Recruitment Program for Indians (B) | X | | |
| 13.971 Health Professions Preparatory Scholarship Programs for Indians (B) | X | | |
| 13.972 Health Professions Scholarship Program for Indians (B) | X | | |
| 13.973 Special Loans for Former National Health Service Corps Members to Enter Private Practice (E) | X | | |
| 13.974 Family Planning Services Delivery Improvement Research Grants (B) | X | | |
| 13.977 Preventive Health Services—Venereal Disease Control Grants (B) | X | | |
| 13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B) | X | | |
| 13.982 Mental Health Disaster Assistance and Emergency Mental Health (B) | X | | |
| 13.983 Health Facility Energy Cost Management (K,L) | | X | |
| 13.984 Grants for Establishment of Departments of Family Medicine (B) | X | | |
| 13.985 Eye Research—Facility Construction (B) | X | | |
| 13.987 Health Programs for Refugees (B) | X | | |
| 13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B) | X | | |
| 13.989 Senior International Awards Program (B) | X | | |
| 13.990 National Health Promotion Training Network (B) | X | | |
| 13.991 Preventive Health and Health Services Block Grant (A) | X | | |
| 13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A) | X | | |
| 13.994 Maternal and Child Health Services Block Grant (A) | X | | |
| 13.995 Adolescent Family Life Demonstration Projects (B) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT** | | | |
| **HOUSING-FEDERAL HOUSING COMMISSIONER** | | | |
| 14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F) | X | | |
| 14.105 Interest Reduction—Homes for Lower Income Families (C,F) | X | | |
| 14.108 Rehabilitation Mortgage Insurance (F) | X | | |
| 14.110 Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers (F) | X | | |
| 14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F) | X | | |
| 14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects (F) | X | | |
| 14.116 Mortgage Insurance—Group Practice Facilities (F) | X | | |
| 14.117 Mortgage Insurance—Homes (F) | X | | |
| 14.118 Mortgage Insurance—Homes for Certified Veterans (F) | X | | |
| 14.119 Mortgage Insurance—Homes for Disaster Victims (F) | X | | |
| 14.120 Mortgage Insurance—Homes for Low and Moderate Income Families (F) | X | | |
| 14.121 Mortgage Insurance—Homes in Outlying Areas (F) | X | | |
| 14.122 Mortgage Insurance—Homes in Urban Renewal Areas (F) | X | | |
| 14.123 Mortgage Insurance—Housing in Older, Declining Areas (F) | X | | |
| 14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F) | X | | |
| 14.125 Mortgage Insurance—Land Development and New Communities (F) | X | | |
| 14.126 Mortgage Insurance—Management Type Cooperative Projects (F) | X | | |
| 14.127 Mortgage Insurance—Manufactured (Mobile) Home Parks (F) | X | | |
| 14.128 Mortgage Insurance—Hospitals (F) | X | | |
| 14.129 Mortgage Insurance—Nursing Homes and Intermediate Care Facilities (F) | X | | |
| 14.130 Mortgage Insurance—Purchase by Homeowners of Fee Simple Title From Lessors (F) | X | | |
| 14.132 Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units (F) | X | | |
| 14.133 Mortgage Insurance—Purchase of Units in Condominiums (F) | X | | |
| 14.134 Mortgage Insurance—Rental Housing (F) | X | | |
| 14.135 Mortgage Insurance—Rental Housing for Moderate Income Families (F) | X | | |
| 14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F) | X | | |
| 14.138 Mortgage Insurance—Rental Housing for the Elderly (F) | X | | |
| 14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F) | X | | |
| 14.140 Mortgage Insurance—Special Credit Risks (F) | X | | |
| 14.141 Nonprofit Sponsor Assistance Program (E) | X | | |
| 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F) | X | | |
| 14.146 Low Income Housing—Assistance Program (C,E) | X | | |
| 14.147 Low Income Housing—Homeownership Opportunities for Low Income Families (C,E) | X | | |
| 14.149 Rent Supplements—Rental Housing for Lower Income Families (C) | X | | |
| 14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F) | X | | |
| 14.152 Mortgage Insurance—Experimental Homes (F) | X | | |
| 14.153 Mortgage Insurance—Experimental Projects Other Than Housing (F) | X | | |
| 14.154 Mortgage Insurance—Experimental Rental Housing (F) | X | | |
| 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F) | X | | |
| 14.156 Lower Income Housing Assistance Program (C) | X | | |
| 14.157 Housing for the Elderly or Handicapped (E) | X | | |
| 14.158 Public Housing—Comprehensive Improvement Assistance Program (B,C,E) | X | | |
| 14.159 Section 245 Graduated Payment Mortgage Program (F) | X | | |
| 14.161 Single-Family Home Mortgage Coinsurance (F) | X | | |
| 14.162 Mortgage Insurance—Combination and Mobile Home Lot Loans (F) | X | | |
| 14.163 Mortgage Insurance—Cooperative Financing (F) | X | | |
| 14.164 Operating Assistance for Troubled Multifamily Housing Projects (B,C) | X | | |
| 14.165 Mortgage Insurance—Homes—Military Impacted Areas (F) | X | | |
| 14.166 Mortgage Insurance—Homes for Members of the Armed Services (F) | X | | |
| 14.167 Mortgage Insurance—Two Year Operating Loss Loans, Section 223(d) (F) | X | | |
| 14.168 Land Sales—Parcels of Subdivided Land (L,N) | | X | |
| 14.169 Housing Counseling Program (B) | X | | |
| 14.170 Congregate Housing Services Program (B) | X | | |
| 14.171 Manufactured Housing—Mobile Home Construction (L,N) | | X | |
| **COMMUNITY PLANNING AND DEVELOPMENT** | | | |
| 14.207 New Communities—Loan Guarantees (F) | X | | |
| 14.211 Surplus Land for Low and Moderate Income Housing (H,K) | | X | |
| 14.218 Community Development Block Grants/Entitlement Grants (A) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 14.219 Community Development Block Grants/Small Cities Program (B) | X | | |
| 14.220 Section 312 Rehabilitation Loans (E) | X | | |
| 14.221 Urban Development Action Grants (B) | X | | |
| 14.222 Urban Homesteading (H) | | X | |
| 14.228 Community Development Block Grants/State's Program (A) | X | | |
| 14.229 Community Development Block Grants/Secretary's Discretionary Fund (B,C) | X | | |
| **FAIR HOUSING AND EQUAL OPPORTUNITY** | | | |
| 14.400 Equal Opportunity in Housing (N) | | X | |
| 14.401 Fair Housing Assistance Program (B) | X | | |
| 14.402 NonDiscrimination in Federally-Assisted Programs (On the Basis of Age) (N) | | X | |
| 14.403 Community Housing Resource Board Program (B) | X | | |
| **POLICY DEVELOPMENT AND RESEARCH** | | | |
| 14.506 General Research and Technology Activity (B) | X | | |
| **DEPARTMENT OF THE INTERIOR** | | | |
| **BUREAU OF INDIAN AFFAIRS** | | | |
| 15.103 Indian Social Services—Child Welfare Assistance (D) | X | | |
| 15.108 Indian Employment Assistance (B,K) | | | X |
| 15.113 Indian Social Services—General Assistance (D) | X | | |
| 15.114 Indian Education—Higher Education Grant Program (B) | X | | |
| 15.123 Indian Loans—Claims Assistance (E) | X | | |
| 15.124 Indian Loans—Economic Development (E,F,J) | | | X |
| 15.130 Indian Education—Assistance to Schools (C) | X | | |
| 15.141 Indian Housing Assistance (B,K,L,M) | | | X |
| 15.142 Self Determination Grants—Indian Tribal Governments (B) | X | | |
| 15.143 Training and Technical Assistance—Indian Tribal Governments (B,J,K,M) | | | X |
| 15.144 Indian Child Welfare Act—Title II Grants (B) | X | | |
| **BUREAU OF LAND MANAGEMENT** | | | |
| 15.206 Mineral Privileges (I) | | X | |
| 15.207 Mineral Leasing (I) | | X | |
| 15.214 Non-Sale Disposals of Mineral Material (H) | | X | |
| 15.215 Sale of Mineral Material (H) | | X | |
| 15.217 Cooperative Agreements With Interpretive Associations (I) | | X | |
| 15.218 Special Recreation Permits (I) | | X | |
| 15.219 Wildlife Habitat Management Technical Assistance (B) | X | | |
| 15.220 Law Enforcement (B) | X | | |
| **OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT** | | | |
| 15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C) | X | | |
| 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B) | X | | |
| **WATER AND POWER RESOURCES SERVICE** | | | |
| 15.501 Irrigation Distribution System Loans (E) | X | | |
| 15.502 Irrigation Systems Rehabilitation and Betterment (E) | X | | |
| 15.503 Small Reclamation Projects (B,E) | X | | |
| **U.S. FISH AND WILDLIFE SERVICE** | | | |
| 15.600 Anadromous Fish Conservation (B) | X | | |
| 15.601 Animal Damage Control (J,K,L,M) | | X | |
| 15.602 Conservation Law Enforcement Training Assistance (M) | | X | |
| 15.603 Farm Fish Pond Management (H) | | X | |
| 15.604 Fishery Research—Information (L) | | X | |
| 15.605 Fish Restoration (A,B) | X | | |
| 15.606 Migratory Bird Banding and Data Analysis (L) | | X | |
| 15.607 Environmental Contaminant Evaluation (K,L,M) | | X | |
| 15.608 Sport Fish Technical Assistance (J) | | X | |
| 15.609 Wildlife Technical Assistance (K,L,M) | | X | |
| 15.610 Wildlife Ecology Research Information (L) | | X | |
| 15.611 Wildlife Restoration (A,B) | X | | |
| 15.612 Endangered Species Conservation (B) | X | | |
| 15.613 Marine Mammal Grant Program (B) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **GEOLOGICAL SURVEY** | | | |
| 15.800 Geologic and Mineral Resource Surveys and Mapping (J,L) | | X | |
| 15.801 Cartographic Information (L) | | X | |
| 15.803 National Mapping, Geography and Surveys (J,L) | | X | |
| 15.804 Water Resources Investigations (J,L) | | X | |
| **INDIAN ARTS AND CRAFTS BOARD** | | | |
| 15.850 Indian Arts and Crafts Development (I,K,N) | | X | |
| **NATIONAL PARK SERVICE** | | | |
| 15.900 Disposal of Surplus Wildlife (H) | | X | |
| 15.904 Historic Preservation Grants-In-Aid (B) | X | | |
| 15.909 Historic American Buildings Survey/Historic American Engineering Record (J,K,L) | | X | |
| 15.910 National Natural Landmarks Program (J,L) | | X | |
| 15.912 National Historic Landmark (K) | | X | |
| 15.914 National Register of Historic Places (K) | | X | |
| 15.915 Technical Preservation Services (J,K,L) | | X | |
| 15.916 Outdoor Recreation—Acquisition, Development and Planning (B) | X | | |
| 15.917 Recreation—Technical Assistance (K,L,M) | | X | |
| 15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (K) | | X | |
| 15.919 Urban Park and Recreation Recovery Program (B) | X | | |
| **OFFICE OF WATER RESEARCH AND TECHNOLOGY** | | | |
| 15.950 National Water Research and Development Program (B) | X | | |
| 15.951 Water Resources Research and Technology—Assistance to State Institutes (A) | X | | |
| 15.952 Water Research and Technology—Matching Funds to State Institutes (B) | X | | |
| 15.953 Water Resources Scientific Information Center (L) | | X | |
| **DEPARTMENT OF JUSTICE** | | | |
| **DRUG ENFORCEMENT ADMINISTRATION** | | | |
| 16.001 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L) | | X | |
| 16.002 Law Enforcement Assistance—Narcotics and Dangerous Drugs—State Legislation (K) | | X | |
| 16.003 Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L) | | X | |
| 16.004 Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M) | | X | |
| 16.005 Public Education on Drug Abuse—Information (K) | | X | |
| **CIVIL RIGHTS DIVISION** | | | |
| 16.100 Desegregation of Public Education (J) | | X | |
| 16.101 Equal Employment Opportunity (J) | | X | |
| 16.103 Fair Housing and Equal Credit Opportunity (J) | | X | |
| 16.104 Protection of Voting Rights (J) | | X | |
| 16.105 Civil Rights of Institutionalized Persons (J) | | X | |
| **COMMUNITY RELATIONS SERVICE** | | | |
| 16.200 Community Relations Service (K) | | X | |
| **FEDERAL BUREAU OF INVESTIGATION** | | | |
| 16.300 Law Enforcement Assistance—FBI Advanced Police Training (M) | | X | |
| 16.301 Law Enforcement Assistance—FBI Crime Laboratory Support (J,M) | | X | |
| 16.302 Law Enforcement Assistance—FBI Field Police Training (M) | | X | |
| 16.303 Law Enforcement Assistance—FBI Fingerprint Identification (J) | | X | |
| 16.304 Law Enforcement Assistance—National Crime Information Center (J) | | X | |
| 16.305 Law Enforcement Assistance—Uniform Crime Reports (L) | | X | |
| **IMMIGRATION AND NATURALIZATION SERVICE** | | | |
| 16.400 Citizenship Education and Training (L) | | X | |
| **OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION** | | | |
| 16.540 Juvenile Justice and Delinquency Prevention—Allocation to States (A) | X | | |
| 16.541 Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance (B) | X | | |
| 16.542 National Institute for Juvenile Justice and Delinquency Prevention (B) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **BUREAU OF JUSTICE STATISTICS** | | | |
| 16.550 Criminal Justice Statistics Development (B) | X | | |
| 16.551 Statistics on Crime and Criminal Justice (L) | | X | |
| 16.553 Federal Statistics and Information Policy (B,L) | | | X |
| **NATIONAL INSTITUTE OF JUSTICE** | | | |
| 16.560 Justice Research and Development Project Grants (B,L) | | | X |
| 16.561 National Institute of Justice Visiting Fellowships (B) | X | | |
| 16.562 Criminal Justice Research and Development—Graduate Research Fellowships (B) | X | | |
| **OFFICE OF JUSTICE ASSISTANCE, RESEARCH AND STATISTICS** | | | |
| 16.570 Civil Rights Compliance Activities (J,N) | | X | |
| 16.571 Public Safety Officers' Benefits Program (D) | X | | |
| **BUREAU OF PRISONS** | | | |
| 16.601 Corrections—Training and Staff Development (B,J,L,M) | | | X |
| 16.602 Corrections—Research and Evaluation and Policy Formulation (B,J,L) | | | X |
| 16.603 Corrections—Technical Assistance (B,J,L) | | | X |
| **DEPARTMENT OF LABOR** | | | |
| **BUREAU OF LABOR STATISTICS** | | | |
| 17.002 Labor Force Statistics (L) | | X | |
| 17.003 Prices and Cost of Living Data (L) | | X | |
| 17.004 Productivity and Technology Data (L) | | X | |
| 17.005 Wages and Industrial Relations Data (L) | | X | |
| 17.006 Economic Growth Data (L) | | X | |
| **LABOR-MANAGEMENT SERVICES ADMINISTRATION** | | | |
| 17.100 Labor-Management Relations Services (K,L) | | X | |
| 17.101 Labor Organization Reports (K,L,N) | | X | |
| 17.102 Veterans Reemployment Rights (K,L,N) | | X | |
| 17.103 Pension and Welfare Benefit Programs (L) | | X | |
| **EMPLOYMENT AND TRAINING ADMINISTRATION** | | | |
| 17.201 Apprenticeship Training (K) | | X | |
| 17.202 Certification of Foreign Workers for Temporary Agricultural and Logging Employment (J,N) | | X | |
| 17.203 Certification for Immigrant Workers (J) | | X | |
| 17.207 Employment Service (A,J,K) | | | X |
| 17.225 Unemployment Insurance (A,D) | X | | |
| 17.230 Migrant and Seasonal Farmworkers (A,B) | X | | |
| 17.232 Comprehensive Employment and Training Programs (A,B) | X | | |
| 17.233 Employment and Training Research and Development Projects (B) | X | | |
| 17.234 Employment and Training—Indians and Native Americans (A,B) | X | | |
| 17.235 Senior Community Service Employment Program (A,B) | X | | |
| 17.243 Special National Programs and Activities for the Disadvantaged (B) | X | | |
| 17.245 Trade Adjustment Assistance—Workers (D,J) | | | X |
| **EMPLOYMENT STANDARDS ADMINISTRATION** | | | |
| 17.301 Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N) | | X | |
| 17.302 Longshoremen's and Harbor Workers' Compensation (D) | X | | |
| 17.303 Minimum Wage and Hour Standards (K,N) | | X | |
| 17.306 Consumer Credit Protection (K,N) | | X | |
| 17.307 Coal Mine Workers' Compensation (D) | X | | |
| 17.308 Farm Labor Contractor Registration (K,N) | | X | |
| **OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION** | | | |
| 17.500 Occupational Safety and Health (B,K,L,M,N) | | | X |
| **MINE SAFETY AND HEALTH ADMINISTRATION** | | | |
| 17.600 Mine Health and Safety Grants (B) | X | | |
| 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L) | | X | |
| 17.602 Mine Health and Safety Education and Training (K,M) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **OFFICE OF THE SECRETARY** | | | |
| 17.700 Women's Special Employment Assistance (K,L) | | X | |
| **OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT** | | | |
| 17.800 Exemplary Rehabilitation Certificates (J) | | X | |
| 17.801 Disabled Veterans Outreach Program (B) | X | | |
| **DEPARTMENT OF STATE** | | | |
| **OFFICE OF THE LEGAL ADVISOR** | | | |
| 19.200 Claims Against Foreign Governments (J) | | X | |
| 19.201 Protection of Ships From Foreign Seizure (G) | X | | |
| 19.202 Special Domestic Assignments (J) | | X | |
| **DEPARTMENT OF TRANSPORTATION** | | | |
| **UNITED STATES COAST GUARD** | | | |
| 20.001 Boating Safety (J,L,M) | | X | |
| 20.002 Coast Guard Cooperative Marine Sciences Program (I) | | X | |
| **FEDERAL AVIATION ADMINISTRATION** | | | |
| 20.100 Aviation Education (K,L) | | X | |
| 20.102 Airport Development Aid Program (B,K) | | | X |
| 20.103 Airport Planning Grant Program (B) | X | | |
| 20.105 Loan Guarantees for Purchase of Aircraft and Spare Parts (F) | X | | |
| **FEDERAL HIGHWAY ADMINISTRATION** | | | |
| 20.205 Highway Planning and Construction (A,B) | X | | |
| 20.214 Highway Beautification—Control of Outdoor Advertising, and Control of Junkyards (B) | X | | |
| 20.215 Highway Training and Education (M) | | X | |
| 20.216 Highway Educational Grants (B,M) | | | X |
| 20.217 Motor Carrier Safety (M,N) | | X | |
| **FEDERAL RAILROAD ADMINISTRATION** | | | |
| 20.301 Railroad Safety (N) | | X | |
| 20.303 Grants-in-Aid for Railroad Safety—State Participation (B) | X | | |
| 20.307 Transportation Test Center (I) | | X | |
| 20.308 Local Rail Service Assistance (A) | X | | |
| 20.309 Railroad Rehabilitation and Improvement—Guarantee of Obligations (F) | X | | |
| 20.310 Railroad Rehabilitation and Improvement—Redeemable Preference Shares (E) | X | | |
| **URBAN MASS TRANSPORTATION ADMINISTRATION** | | | |
| 20.500 Urban Mass Transportation Capital Improvement Grants (B) | X | | |
| 20.502 Urban Mass Transportation Grants for University Research and Training (B) | X | | |
| 20.503 Urban Mass Transportation Managerial Training Grants (B) | X | | |
| 20.504 Mass Transportation Technology (B) | X | | |
| 20.505 Urban Mass Transportation Technical Studies Grants (B) | X | | |
| 20.506 Urban Mass Transportation Demonstration Grants (B) | X | | |
| 20.507 Urban Mass Transportation Capital and Operating Assistance Formula Grants (A) | X | | |
| 20.509 Public Transportation for Nonurbanized Areas (A) | X | | |
| 20.510 Urban Mass Transportation Planning Methods Research and Development (B,L,M) | | | X |
| **NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION** | | | |
| 20.600 State and Community Highway Safety (A) | X | | |
| **RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION** | | | |
| 20.700 Gas Pipeline Safety (A) | X | | |
| **MARITIME ADMINISTRATION** | | | |
| 20.800 Construction—Differential Subsidies (C) | X | | |
| 20.801 Development and Promotion of Ports and Intermodal Transportation (K,L) | | X | |
| 20.802 Federal Ship Financing Guarantees (F) | X | | |
| 20.803 Maritime War Risk Insurance (G) | X | | |
| 20.804 Operating—Differential Subsidies (C) | X | | |
| 20.805 Ship Sales (H) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 20.806 State Marine Schools (C,I) | | | X |
| 20.807 U.S. Merchant Marine Academy (M) | | X | |
| 20.808 Capital Construction Fund (C) | X | | |
| 20.809 Development and Promotion of Domestic Waterborne Transport Systems (K,L) | | X | |
| 20.810 Supplementary Training (M) | | X | |
| 20.811 Research and Development Assistance (B) | X | | |
| 20.812 Construction Reserve Fund (C) | X | | |
| **DEPARTMENT OF THE TREASURY** | | | |
| **INTERNAL REVENUE SERVICE** | | | |
| 21.003 Taxpayer Service (K,M) | | X | |
| 21.004 Federal Tax Information for State Tax Officials (J) | | X | |
| 21.005 Individual Tax Model (J) | | X | |
| 21.006 Tax Counseling for the Elderly (C) | X | | |
| **BUREAU OF ALCOHOL, TOBACCO AND FIREARMS** | | | |
| 21.051 Alcohol, Tobacco, and Firearms—Laboratory Analysis (J) | | X | |
| 21.052 Alcohol, Tobacco, and Firearms—Training Assistance (M) | | X | |
| **UNITED STATES SECRET SERVICE** | | | |
| 21.100 Secret Service—Training Activities (M) | | X | |
| **OFFICE OF REVENUE SHARING** | | | |
| 21.300 State and Local Government Fiscal Assistance—General Revenue Sharing (A) | X | | |
| **APPALACHIAN REGIONAL COMMISSION** | | | |
| 23.001 Appalachian Regional Development (See individual Appalachian Programs) (B) | X | | |
| 23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) | X | | |
| 23.003 Appalachian Development Highway System (B) | X | | |
| 23.004 Appalachian Health Programs (B) | X | | |
| 23.005 Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B) | X | | |
| 23.008 Appalachian Local Access Roads (B) | X | | |
| 23.009 Appalachian Local Development District Assistance (B) | X | | |
| 23.010 Appalachian Mine Area Restoration (B) | X | | |
| 23.011 Appalachian State Research, Technical Assistance, and Demonstration Projects (B) | X | | |
| 23.012 Appalachian Vocational and Other Education Facilities and Operations (B) | X | | |
| 23.013 Appalachian Child Development (B) | X | | |
| 23.017 Appalachian Special Transportation Related Planning, Research and Demonstration Program (B) | X | | |
| **CIVIL AERONAUTICS BOARD** | | | |
| 26.002 Air Transportation—Consumer Affairs (N) | | X | |
| 26.003 Payments for Essential Air Services (C) | X | | |
| **OFFICE OF PERSONNEL MANAGEMENT** | | | |
| 27.001 Federal Civil Service Employment (O) | | X | |
| 27.002 Federal Employment Assistance for Veterans (O) | | X | |
| 27.003 Federal Employment for Disadvantaged Youth—Part-Time (O) | | X | |
| 27.004 Federal Employment for Disadvantaged Youth—Summer (O) | | X | |
| 27.005 Federal Employment for the Handicapped (O) | | X | |
| 27.006 Federal Summer Employment (O) | | X | |
| 27.008 Intergovernmental Cooperation in Recruiting and Examining (J) | | X | |
| 27.009 Training Assistance to State and Local Governments (K,L,M) | | X | |
| 27.011 Intergovernmental Mobility of Federal, State, and Local Employees (J,K) | | X | |
| 27.013 Presidential Management Intern Program (J,O) | | X | |
| **COMMISSION ON CIVIL RIGHTS** | | | |
| 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints (L) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION** | | | |
| 30.001 Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (N) | | X | |
| 30.002 Employment Discrimination—State and Local Anti-Discrimination Agency Contracts (C) | X | | |
| 30.005 Employment Discrimination—Private Bar Program (J) | | X | |
| 30.008 Employment Discrimination—Age Discrimination in Employment (K,N) | | X | |
| 30.009 Employment Discrimination Project Contracts—Indian Tribes (B) | X | | |
| 30.010 Employment Discrimination—Equal Pay Act (K,N) | | X | |
| **FEDERAL COMMUNICATIONS COMMISSION** | | | |
| 32.001 Communications Information and Investigation of Complaints (L,N) | | X | |
| **FEDERAL MARITIME COMMISSION** | | | |
| 33.001 Shipping—Investigation of Complaints (N) | | X | |
| **FEDERAL MEDIATION AND CONCILIATION SERVICE** | | | |
| 34.001 Labor Mediation and Conciliation (J,K) | | X | |
| 34.002 Labor—Management Cooperation (B) | X | | |
| **FEDERAL TRADE COMMISSION** | | | |
| 36.001 Fair Competition Counseling and Investigation of Complaints (K,N) | | X | |
| **FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES** | | | |
| 37.010 Vietnam Claims Program (J) | | X | |
| 37.011 Second Czechoslovakian Claims Program (J) | | X | |
| **GENERAL SERVICES ADMINISTRATION** | | | |
| 39.001 Business Services (K) | | X | |
| 39.002 Disposal of Federal Surplus Real Property (H) | | X | |
| 39.003 Donation of Federal Surplus Personal Property (H) | | X | |
| 39.004 National Archives Reference Services (I,K,L) | | X | |
| 39.005 National Audiovisual Center (K,L) | | X | |
| 39.006 National Historical Publications and Records Grants (B) | X | | |
| 39.007 Sale of Federal Surplus Personal Property (H) | | X | |
| 39.008 Federal Information Center (L) | | X | |
| 39.009 Consumer Information Center (L) | | X | |
| **GOVERNMENT PRINTING OFFICE** | | | |
| 40.001 Depository Libraries for Government Publications (L) | | X | |
| 40.002 Government Publications—Sales and Distribution (H,L) | | X | |
| **INTERSTATE COMMERCE COMMISSION** | | | |
| 41.001 Interstate Commerce—Cooperative Enforcement Agreements With States (L) | | X | |
| 41.002 Interstate Commerce—Investigation of Complaints (N) | | X | |
| **LIBRARY OF CONGRESS** | | | |
| 42.001 Books for the Blind and Physically Handicapped (I) | | X | |
| 42.002 Copyright Service (L) | | X | |
| 42.003 Distribution of Library of Congress Cataloging (L) | | X | |
| 42.005 Library of Congress Publications (L) | | X | |
| 42.006 Library of Congress Research Services (K,L) | | X | |
| 42.007 Reference Services in Science and Technology (L) | | X | |
| **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION** | | | |
| 43.001 Aerospace Education Services Project (L) | | X | |
| 43.002 Technology Transfer (L) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **NATIONAL CREDIT UNION ADMINISTRATION** | | | |
| 44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K) | | | X |
| **NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES** | | | |
| **NATIONAL ENDOWMENT FOR THE ARTS** | | | |
| 45.001 Promotion of the Arts—Design Arts (B,C) | X | | |
| 45.002 Promotion of the Arts—Dance (B,C) | X | | |
| 45.003 Promotion of the Arts—Artists-in-Education (B) | X | | |
| 45.004 Promotion of the Arts—Literature (B) | X | | |
| 45.005 Promotion of the Arts—Music (B,C) | X | | |
| 45.006 Promotion of the Arts—Media Arts: Film/Radio/Television (B) | X | | |
| 45.007 Promotion of the Arts—State Programs/Partnership Coordination (A,B,K) | | | X |
| 45.008 Promotion of the Arts—Theatre (B) | X | | |
| 45.009 Promotion of the Arts—Visual Arts (B) | X | | |
| 45.010 Promotion of the Arts—Expansion Arts (B) | X | | |
| 45.011 Promotion of the Arts—Inter-Arts (B) | X | | |
| 45.012 Promotion of the Arts—Museums (B) | X | | |
| 45.013 Promotion of the Arts—Challenge Grants (B) | X | | |
| 45.014 Promotion of the Arts—Opera and Musical Theatre (B) | X | | |
| 45.015 Promotion of the Arts—Folk Arts (B) | X | | |
| 45.020 Promotion of the Arts—National Endowment Fellowship Program (B) | X | | |
| **NATIONAL ENDOWMENT FOR THE HUMANITIES** | | | |
| 45.104 Promotion of the Humanities—Media Humanities Projects (B) | X | | |
| 45.109 Promotion of the Humanities—Fellowships for Journalists (B) | X | | |
| 45.111 Promotion of the Humanities—Higher Education/Regional and National Grants (B) | X | | |
| 45.113 Promotion of the Humanities—Program Development (B) | X | | |
| 45.115 Promotion of the Humanities—Youthgrants (B) | X | | |
| 45.116 Promotion of the Humanities—Summer Seminars for College Teachers (B) | X | | |
| 45.121 Promotion of the Humanities—Summer Stipends (B) | X | | |
| 45.122 Promotion of the Humanities—Fellowships at Centers for Advanced Study (B) | X | | |
| 45.123 Promotion of the Humanities—Consultant Grant Program (B) | X | | |
| 45.124 Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) | X | | |
| 45.125 Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations (B) | X | | |
| 45.127 Promotion of the Humanities—Elementary and Secondary Education Program (B) | X | | |
| 45.128 Promotion of the Humanities—Planning and Assessment Studies Program (B) | X | | |
| 45.129 Promotion of the Humanities—State Programs (B) | X | | |
| 45.130 Promotion of the Humanities—Challenge Grants Program (C) | X | | |
| 45.132 Promotion of the Humanities—Research Materials: Publications (B) | X | | |
| 45.133 Promotion of the Humanities—Science, Technology and Human Values (B) | X | | |
| 45.134 Promotion of the Humanities—Research Conferences (B) | X | | |
| 45.135 Promotion of the Humanities—Youth Projects (B) | X | | |
| 45.137 Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B) | X | | |
| 45.138 Promotion of the Humanities—Education Pilot Grants (B) | X | | |
| 45.139 Promotion of the Humanities—Education Implementation Grants (B) | X | | |
| 45.140 Promotion of the Humanities—Basic Research (B) | X | | |
| 45.141 Promotion of the Humanities—State, Local, and Regional Studies (B) | X | | |
| 45.142 Promotion of the Humanities—Fellowships for Independent Study and Research (B) | X | | |
| 45.143 Promotion of the Humanities—Fellowships for College Teachers (B) | X | | |
| 45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B) | X | | |
| 45.146 Promotion of the Humanities—Research Materials/Editions (B) | X | | |
| 45.147 Promotion of the Humanities—Research Materials/Translations (B) | X | | |
| 45.148 Promotion of the Humanities—Intercultural Research Program (B) | X | | |
| 45.149 Promotion of the Humanities—Research Resources-Conservation and Preservation Grants (B) | X | | |
| **FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES** | | | |
| 45.201 Arts and Artifacts Indemnity (G) | X | | |
| **INSTITUTE OF MUSEUM SERVICES** | | | |
| 45.301 Institute of Museum Services (D) | X | | |
| **NATIONAL LABOR RELATIONS BOARD** | | | |
| 46.001 Labor-Management Relations (J,N) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **NATIONAL SCIENCE FOUNDATION** | | | |
| 47.009 Scientific Personnel Improvement (B) | X | | |
| 47.036 Intergovernmental and Public Service Science and Technology Program (B) | X | | |
| 47.041 Engineering Grants (B) | X | | |
| 47.049 Mathematical and Physical Sciences (B) | X | | |
| 47.050 Astronomical, Atmospheric, Earth and Ocean Sciences (B) | X | | |
| 47.051 Biological, Behavioral, and Social Sciences (B) | X | | |
| 47.053 Scientific, Technological, and International Affairs (B) | X | | |
| 47.055 Two-Year and Four-Year College Research Instrumentation (B) | X | | |
| 47.057 Minority Research Initiation (B) | X | | |
| 47.059 Visiting Professorships for Women in Science and Engineering (B) | X | | |
| 47.060 Research Improvement in Minority Institutions (B) | X | | |
| **PRESIDENT'S COMMITTEE ON EMPLOYMENT OF THE HANDICAPPED** | | | |
| 53.001 Handicapped Employment Promotion (K,L) | | X | |
| **RAILROAD RETIREMENT BOARD** | | | |
| 57.001 Social Insurance for Railroad Workers (D) | X | | |
| 57.002 Benefits for Milwaukee Railroad Workers (D,J) | | | X |
| **SECURITIES AND EXCHANGE COMMISSION** | | | |
| 58.001 Securities—Investigation of Complaints and SEC Information (L,N) | | X | |
| **SMALL BUSINESS ADMINISTRATION** | | | |
| 59.002 Economic Injury Disaster Loans (E,F) | X | | |
| 59.003 Economic Opportunity Loans for Small Businesses (E,F,K) | | | X |
| 59.005 Management Assistance to Small Businesses (K,L,M) | | X | |
| 59.006 Minority Business Development—Procurement Assistance (J) | | X | |
| 59.007 Management and Technical Assistance for Disadvantaged Businessmen (B) | X | | |
| 59.008 Physical Disaster Loans (E,F) | X | | |
| 59.009 Procurement and Technical Assistance to Small Businesses (J) | | X | |
| 59.011 Small Business Investment Companies (E,F,K) | | | X |
| 59.012 Small Business Loans (E,F) | X | | |
| 59.013 State and Local Development Company Loans (E,F) | X | | |
| 59.016 Bond Guarantees for Surety Companies (F) | X | | |
| 59.021 Handicapped Assistance Loans (E,F) | X | | |
| 59.026 Service Corps of Retired Executives and Active Corps of Executives (K) | | X | |
| 59.030 Small Business Energy Loans (E,F) | X | | |
| 59.031 Small Business Pollution Control Financing Guarantee (F) | X | | |
| 59.032 Office of Women's Business Enterprise (B) | X | | |
| 59.033 Minority Small Business and Capital Ownership Development (J) | | X | |
| 59.034 Small Business Economic Research (B) | X | | |
| 59.035 Procurement Automated Source System (J) | | X | |
| 59.036 Certified Development Company Loans (F) | X | | |
| 59.037 Small Business Development Center (B,L) | | | X |
| **SMITHSONIAN INSTITUTION** | | | |
| 60.001 Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) | | | X |
| 60.007 Museums—Assistance and Advice (B,K,L,M) | | | X |
| 60.013 Smithsonian Institution Traveling Exhibition Service (I,J) | | X | |
| 60.016 Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (B,C) | X | | |
| 60.020 Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs (B,I) | | | X |
| **INTERNATIONAL TRADE COMMISSION** | | | |
| 61.001 Import Relief (Industry) (J) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **TENNESSEE VALLEY AUTHORITY** | | | |
| 62.001 National Fertilizer Development (H,I,K,L) | | X | |
| 62.004 Tennessee Valley Region—Economic and Community Development (K,L) | | X | |
| 62.005 Tennessee Valley Region—Natural Resources Development (K,L) | | X | |
| 62.006 Tennessee Valley Region—Valley Agricultural Resources Development (K,L) | | X | |
| **VETERANS ADMINISTRATION** | | | |
| **DEPARTMENT OF MEDICINE AND SURGERY** | | | |
| 64.001 Biomedical Research (I) | | X | |
| 64.005 Grants to States for Construction of State Home Facilities (B) | X | | |
| 64.007 Blind Veterans Rehabilitation Centers (J) | | X | |
| 64.008 Veterans Domiciliary Care (J) | | X | |
| 64.009 Veterans Hospitalization (J) | | X | |
| 64.010 Veterans Nursing Home Care (J) | | X | |
| 64.011 Veterans Outpatient Care (J) | | X | |
| 64.012 Veterans Prescription Service (H) | | X | |
| 64.013 Veterans Prosthetic Appliances (H) | | X | |
| 64.014 Veterans State Domiciliary Care (A) | X | | |
| 64.015 Veterans State Nursing Home Care (A) | X | | |
| 64.016 Veterans State Hospital Care (A) | X | | |
| 64.018 Sharing Specialized Medical Resources (J) | | X | |
| 64.019 Veterans Rehabilitation—Alcohol and Drug Dependence (J) | | X | |
| 64.022 Veterans Hospital Based Home Care (J) | | X | |
| 64.023 Health Professional Scholarships (B) | X | | |
| **DEPARTMENT OF VETERANS BENEFITS** | | | |
| 64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C) | X | | |
| 64.101 Burial Expenses Allowance for Veterans (C) | X | | |
| 64.102 Compensation for Service-Connected Deaths for Veterans' Dependents (D) | X | | |
| 64.103 Life Insurance for Veterans (E,G) | X | | |
| 64.104 Pension for Non-Service-Connected Disability for Veterans (D) | X | | |
| 64.105 Pension to Veterans Surviving Spouses, and Children (D) | X | | |
| 64.106 Specially Adapted Housing for Disabled Veterans (C) | X | | |
| 64.109 Veterans Compensation for Service-Connected Disability (D) | X | | |
| 64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D) | X | | |
| 64.111 Veterans Educational Assistance (C) | X | | |
| 64.114 Veterans Housing—Guaranteed and Insured Loans (F) | X | | |
| 64.115 Veterans Information and Assistance (K) | | X | |
| 64.116 Vocational Rehabilitation for Disabled Veterans (D,E) | X | | |
| 64.117 Dependents Educational Assistance (C) | X | | |
| 64.118 Veterans Housing—Direct Loans for Disabled Veterans (E) | X | | |
| 64.119 Veterans Housing—Mobile Home Loans (F) | X | | |
| 64.120 Post-Vietnam Era Veterans' Educational Assistance (C) | X | | |
| **DEPARTMENT OF MEMORIAL AFFAIRS** | | | |
| 64.200 Memorial Plots and Memorial Markers (J) | | X | |
| 64.201 National Cemeteries (J) | | X | |
| 64.202 Procurement of Headstones and Markers (J) | | X | |
| 64.203 State Cemetery Grants (B) | X | | |
| **WATER RESOURCES COUNCIL** | | | |
| 65.001 Water Resources Planning (A) | X | | |
| **ENVIRONMENTAL PROTECTION AGENCY** | | | |
| **AIR, NOISE, AND RADIATION PROGRAMS** | | | |
| 66.001 Air Pollution Control Program Grants (B) | X | | |
| 66.003 Air Pollution Control Manpower Training Grants (B) | X | | |
| 66.006 Air Pollution Control—Technical Training (M) | | X | |
| 66.007 Air Pollution Control—National Ambient Air and Source Emission Data (J) | | X | |
| 66.008 Air Pollution Control—Technical Assistance (J,K,L) | | X | |
| 66.009 Air Pollution Control—Technical Information Services (L) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| **OFFICE OF WATER** | | | |
| 66.418 Construction Grants for Wastewater Treatment Works (B) | X | | |
| 66.419 Water Pollution Control—State and Interstate Program Grants (A) | X | | |
| 66.423 Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications (M) | | X | |
| 66.425 Drinking Water Supply—Technical Assistance (K,L) | | X | |
| 66.426 Water Pollution Control—State and Areawide Water Quality Management Planning (B) | X | | |
| 66.432 State Public Water System Supervision Program Grants (B) | X | | |
| 66.433 State Underground Water Source Protection—Program Grants (B) | X | | |
| 66.438 Construction Management Assistance Grants (A) | X | | |
| 66.451 Hazardous Waste Management Financial Assistance to States (A) | X | | |
| **OFFICE OF RESEARCH AND DEVELOPMENT** | | | |
| 66.500 Environmental Protection—Consolidated Research Grants (B) | X | | |
| 66.501 Air Pollution Control Research Grants (B) | X | | |
| 66.502 Pesticides Control Research Grants (B) | X | | |
| 66.504 Solid Waste Disposal Research Grants (B) | X | | |
| 66.505 Water Pollution Control—Research, Development, and Demonstration Grants (B) | X | | |
| 66.506 Safe Drinking Water Research and Demonstration Grants (B) | X | | |
| 66.507 Toxic Substances Research Grants (B) | X | | |
| **OFFICE OF PLANNING AND MANAGEMENT** | | | |
| 66.600 Environmental Protection Consolidated Grants—Program Support (A) | X | | |
| 66.603 Loan Guarantees for Construction of Treatment Works (F) | X | | |
| **OFFICE OF ENFORCEMENT** | | | |
| 66.700 Pesticides Enforcement Program Grants (B) | X | | |
| **NATIONAL GALLERY OF ART** | | | |
| 68.001 National Gallery of Art Extension Service (I) | | X | |
| **OVERSEAS PRIVATE INVESTMENT CORPORATION** | | | |
| 70.002 Foreign Investment Guaranties (F) | X | | |
| 70.003 Foreign Investment Insurance (G) | X | | |
| 70.004 Pre-Investment Assistance (C) | X | | |
| 70.005 Direct Investment Loans (E) | X | | |
| **ACTION** | | | |
| 72.001 The Foster Grandparent Program (B) | X | | |
| 72.002 Retired Senior Volunteer Program (B) | X | | |
| 72.003 Volunteers in Service to America (J) | | X | |
| 72.005 National Center for Service-Learning (B,J,K,L,M) | | | X |
| 72.008 The Senior Companion Program (B) | X | | |
| 72.010 Mini-Grant Program (B) | X | | |
| 72.011 State Office of Voluntary Citizen Participation (B) | X | | |
| 72.012 Volunteer Demonstration Program (B) | X | | |
| 72.013 Technical Assistance Program (B) | X | | |
| **NUCLEAR REGULATORY COMMISSION** | | | |
| 77.001 Radiation Control—Training Assistance and Advisory Counseling (K,L,M) | | X | |
| 77.003 Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B) | X | | |
| **COMMODITY FUTURES TRADING COMMISSION** | | | |
| 78.002 Commodity Futures Market Reports (L) | | X | |
| 78.004 Commodity Futures Reparations Claims (N) | | X | |
| **DEPARTMENT OF ENERGY** | | | |
| 81.002 Motion Picture Film Libraries (L) | | X | |
| 81.003 Granting of Patent Licenses (L) | | X | |
| 81.004 University-Laboratory Cooperative Program (B,I) | | | X |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 81.007 Teacher Development Projects in Energy (B,M) | | | X |
| 81.011 University Reactor Sharing and Fuel Assistance (B,H) | | | X |
| 81.022 Used Energy-Related Laboratory Equipment Grants (H) | | X | |
| 81.023 Information Services—Exhibits, Public Speakers, and Publications (L) | | X | |
| 81.028 Radiological Emergency Assistance (J,K,L) | | X | |
| 81.029 Uranium Industry Seminars (L) | | X | |
| 81.036 Energy-Related Inventions (B,I,K,L) | | | X |
| 81.039 National Energy Information Center (L) | | X | |
| 81.041 State Energy Conservation (A) | X | | |
| 81.042 Weatherization Assistance for Low-Income Persons (B) | X | | |
| 81.043 Supplemental State Energy Conservation (A) | X | | |
| 81.048 Priorities and Allocations for Energy Programs and Projects (J,M) | | X | |
| 81.049 Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) | X | | |
| 81.050 Energy Extension Service (A) | X | | |
| 81.051 Appropriate Energy Technology (B) | X | | |
| 81.052 Energy Conservation for Institutional Buildings (A) | X | | |
| 81.056 Coal Loan Guarantees (F) | X | | |
| 81.057 University Coal Research (B) | X | | |
| 81.058 Geothermal Loan Guarantees (F) | X | | |
| 81.060 Electric and Hybrid Vehicle Loan Guaranties (F) | X | | |
| 81.062 National Clubs, Organizations and Associations Energy Awareness Projects (K,L) | | X | |
| 81.063 Office of Minority Economic Impact Loans (E) | X | | |
| 81.064 DOE Technical Information Center (L) | | X | |
| 81.065 Research and Development Nuclear Energy Programs (B,C) | X | | |
| 81.074 Alcohol Fuels Loan Guarantees (F) | X | | |
| 81.075 Energy Graduate Traineeship Program (B) | X | | |

## INTERNATIONAL COMMUNICATION AGENCY

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 82.001 Educational Exchange—Graduate Students (B) | X | | |
| 82.002 Educational Exchange—University Lecturers (Professors) and Research Scholars (B) | X | | |

## FEDERAL EMERGENCY MANAGEMENT AGENCY

### UNITED STATES FIRE ADMINISTRATION

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 83.002 State Fire Incident Reporting Assistance (B) | X | | |
| 83.003 Public Education Assistance Program (B) | X | | |
| 83.004 Technical Support Services (J) | | X | |
| 83.005 Arson Task Force Assistance Program (J,K,L) | | X | |
| 83.007 Reimbursement for Firefighting on Federal Property (C) | X | | |

### FEDERAL INSURANCE ADMINISTRATION

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 83.100 Flood Insurance (G) | X | | |
| 83.101 Urban Property Insurance (G) | X | | |
| 83.102 Crime Insurance (G) | X | | |

### NATIONAL EDUCATION TRAINING CENTER

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 83.400 Emergency Management Institute—Student Expense Program (B,M) | | | X |
| 83.401 Emergency Management—Architect/Engineer Student Development (M) | | X | |
| 83.402 Radiological Emergency Response—Training Assistance (K,M) | | X | |
| 83.403 Training and Education Field Deployment (A,B,M) | | | X |
| 83.404 Academy Planning Assistance (B) | X | | |
| 83.405 Student Stipend Program (C) | X | | |

### STATE AND LOCAL PROGRAMS AND SUPPORT

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 83.500 General Research, Development, and Demonstration Activity (B) | X | | |
| 83.501 State Assistance Program (B) | X | | |
| 83.502 Acquisition of Flood-Damaged Structures (H) | | X | |
| 83.503 Emergency Management Assistance (A) | X | | |
| 83.504 State and Local Maintenance and Services (B) | X | | |
| 83.505 State Disaster Preparedness Grants (B) | X | | |
| 83.506 Earthquake and Hurricane Loss Study and Contingency Planning Grants (B) | X | | |
| 83.507 Industrial Preparedness Planning (L,M) | | X | |
| 83.508 Radiological Systems Maintenance (B,J) | | | X |
| 83.509 National Shelter Survey (J) | | X | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 83.510 Radiation Shielding Design (K) | | X | |
| 83.511 State Radiological Defense Officers (B,J) | | | X |
| 83.512 State and Local Emergency Operating Centers (B) | X | | |
| 83.513 State and Local Supporting Materials (B) | X | | |
| 83.514 Nuclear Civil Protection Planning (B) | X | | |
| 83.515 Broadcast Station Protection Program (B) | X | | |
| 83.516 Disaster Assistance (B,I,J) | | | X |

## DEPARTMENT OF EDUCATION

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 84.002 Adult Education—State-Administered Program (A) | X | | |
| 84.003 Bilingual Education (B,C) | X | | |
| 84.004 Civil Rights Technical Assistance and Training (B) | X | | |
| 84.005 College Library Resources (B) | X | | |
| 84.007 Supplemental Educational Opportunity Grants (C) | X | | |
| 84.009 Program for Education of Handicapped Children in State Operated or Supported Schools (A) | X | | |
| 84.010 Educationally Deprived Children—Local Educational Agencies (A) | X | | |
| 84.011 Migrant Education—Basic State Formula Grant Program (A) | X | | |
| 84.012 Educationally Deprived Children—State Administration (A) | X | | |
| 84.013 Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (A) | X | | |
| 84.014 Follow Through (B) | X | | |
| 84.015 National Resource Centers and Fellowships in International Studies (B) | X | | |
| 84.016 Undergraduate International Studies and Foreign Language Programs (B) | X | | |
| 84.017 International Research and Studies (B) | X | | |
| 84.018 Teacher Exchange (B) | X | | |
| 84.019 Fulbright-Hays Training Grants—Faculty Research Abroad (B) | X | | |
| 84.020 Fulbright-Hays Training Grants—Foreign Curriculum Consultants (B,J) | | | X |
| 84.021 Fulbright-Hays Training Grants—Group Projects Abroad (B) | X | | |
| 84.022 Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B) | X | | |
| 84.023 Handicapped—Research and Demonstration (B) | X | | |
| 84.024 Handicapped Early Childhood Assistance (B) | X | | |
| 84.025 Handicapped Innovative Programs—Deaf-Blind Centers (B) | X | | |
| 84.026 Handicapped Media Services and Captioned Films (B,C) | X | | |
| 84.027 Handicapped Preschool and School Programs (A) | X | | |
| 84.028 Handicapped Regional Resource Centers (B) | X | | |
| 84.029 Handicapped Personnel Preparation (B) | X | | |
| 84.030 Handicapped Teacher Recruitment and Information (B) | X | | |
| 84.031 Higher Education—Strengthening Developing Institutions (B) | X | | |
| 84.032 Higher Education Act Insured Loans (F) | X | | |
| 84.033 College Work—Study Program (C) | X | | |
| 84.034 Public Library Services (A) | X | | |
| 84.035 Interlibrary Cooperation (A) | X | | |
| 84.036 Library Career Training (B) | X | | |
| 84.037 National Defense/Direct Student Loan Cancellations (C,D) | X | | |
| 84.038 National Defense/Direct Student Loans (C) | X | | |
| 84.039 Library Research and Demonstration (B) | X | | |
| 84.040 School Assistance in Federally Affected Areas—Construction (B) | X | | |
| 84.041 School Assistance in Federally Affected Areas—Maintenance and Operation (A) | X | | |
| 84.042 Special Services for Disadvantaged Students (B) | X | | |
| 84.044 Talent Search (B) | X | | |
| 84.046 Continuing Education Outreach—State Administered Program (A) | X | | |
| 84.047 Upward Bound (B) | X | | |
| 84.048 Vocational Education—Basic Grants to States (A) | X | | |
| 84.049 Vocational Education—Consumer and Homemaking Education (A) | X | | |
| 84.050 Vocational Education—Program Improvement and Supportive Service (A) | X | | |
| 84.051 Vocational Education—Program Improvement Projects (B) | X | | |
| 84.052 Vocational Education—Special Programs for the Disadvantaged (A) | X | | |
| 84.053 Vocational, Education—State Advisory Councils (A) | X | | |
| 84.055 Higher Education—Cooperative Education (B) | X | | |
| 84.060 Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B) | X | | |
| 84.061 Indian Education—Special Programs and Projects (B) | X | | |
| 84.062 Indian Education—Adult Indian Education (B) | X | | |
| 84.063 Pell Grant Program (C) | X | | |
| 84.064 Higher Education—Veterans' Cost of Instruction Program (C) | X | | |
| 84.065 Educational Television and Radio Programming (B) | X | | |
| 84.066 Educational Opportunity Centers (B) | X | | |

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 84.067 Use of Technology in Basic Skills Instruction (B) | X | | |
| 84.069 Grants to States for State Student Incentives (A) | X | | |
| 84.072 Indian Education—Grants to Indian Controlled Schools (B) | X | | |
| 84.073 National Diffusion Network (B,K,L) | | | X |
| 84.077 Bilingual Vocational Training (B,C) | X | | |
| 84.078 Regional Education Programs for Deaf and Other Handicapped Persons (B) | X | | |
| 84.083 Women's Educational Equity (B) | X | | |
| 84.086 Innovative Programs for Severely Handicapped Children (B) | X | | |
| 84.087 Indian Education—Fellowships for Indian Students (B) | X | | |
| 84.091 Strengthening Research Library Resources (B) | X | | |
| 84.094 Graduate and Professional Study (B) | X | | |
| 84.097 Law School Clinical Experience Program (B) | X | | |
| 84.099 Bilingual Vocational Instructor Training (B,C) | X | | |
| 84.100 Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C) | X | | |
| 84.101 Vocational Education—Program for Indian Tribes and Indian Organizations (B) | X | | |
| 84.103 Training for Special Programs Staff and Leadership Personnel (B) | X | | |
| 84.116 Fund for the Improvement of Postsecondary Education (B) | X | | |
| 84.117 Educational Research and Development (B) | X | | |
| 84.120 Minority Institutions Science Improvement Program (B) | X | | |
| 84.121 Vocational Education—State Planning and Evaluation (A) | X | | |
| 84.124 Territorial Teacher Training Assistance Program (B) | X | | |
| 84.125 Clearinghouse on the Handicapped (K,L) | | X | |
| 84.126 Rehabilitation Services—Basic Support (A) | X | | |
| 84.128 Rehabilitation Services—Special Projects (B) | X | | |
| 84.129 Rehabilitation Training (B) | X | | |
| 84.132 Centers for Independent Living (B) | X | | |
| 84.133 National Institute of Handicapped Research (B) | X | | |
| 84.135 Aid to Land-Grant Colleges (B) | X | | |
| 84.136 Legal Training for the Disadvantaged (B) | X | | |
| 84.141 Migrant Education—High School Equivalency Program (B) | X | | |
| 84.142 Housing for Educational Institutions (E) | X | | |
| 84.143 Emergency School Aid Act—Evaluation Contracts (C) | X | | |
| 84.144 Migrant Education—Interstate and Intrastate Coordination Program (B) | X | | |
| 84.145 Federal Real Property Assistance Program (H) | | X | |
| 84.146 Transition Program for Refugee Children (A,C) | X | | |
| 84.148 Allen J. Ellender Fellowship Program (B) | X | | |
| 84.149 Migrant Education—College Assistance Migrant Program (B) | X | | |
| 84.151 Education Consolidation and Improvement Programs—Chapter 2 (A) | X | | |
| 84.152 Neglected or Delinquent Transition Services (B) | X | | |

## HARRY S. TRUMAN SCHOLARSHIP FOUNDATION

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 85.001 Harry S. Truman Scholarship Program (C) | X | | |

## PENSION BENEFIT GUARANTY CORPORATION

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 86.001 Pension Plan Termination Insurance (G) | X | | |

## CONSUMER PRODUCT SAFETY COMMISSION

| Program Description | Financial | Non-Financial | Combined |
|---|---|---|---|
| 87.001 Voluntary Standards Assistance (K) | | X | |

# APPLICANT ELIGIBILITY INDEX

*The alphabet(s) in parenthesis following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A—Formula Grants; B—Project Grants; C—Direct Payments for Specified Use; D—Direct Payments with Unrestricted Use; E—Direct Loans; F—Guaranteed/Insured Loans; G—Insurance; H—Sale, Exchange, or Donation of Property and Goods; I—Use of Property, Facilities, and Equipment; J—Provision of Specialized Services; K—Advisory Services and Counseling; L—Dissemination of Technical Information; M—Training; N—Investigation of Complaints; O—Federal Employment.*

*Definitions of the types of applicants used in this Index are given below.*

*Individual - Any person or persons,as individuals, groups, or profit making organizations. Such persons and groups do not represent Federally Recognized Indian Tribal Governments. Includes Indians or other Native Americans who apply as individuals rather than as a member of a tribe or other Indian organization.*

*Local - Agencies or instrumentalities of political subdivisions within a State, to include cities, towns, townships, parishes, municipalities, villages, counties, school districts,and other special local districts. Included under local are Indian tribes on State reservations, Indian bands and group, Pueblos, Indian school boards, and State designated Indian tribes. Local does not include institutions of higher education and hospitals.*

*Nonprofit - A public or private agency or organization established by charter to perform specialized functions or services for the benefit of all or part of the general public. Functions or services are provided without charge or at cost, and earn no profit. The agency or organization has no shareholders to receive dividends.*

*State - Any agency or instrumentality of the fifty States of the United States, and the District of Columbia. State does not include the political subdivisions of the State, but does include institutions of higher education and hospitals.*

*U.S. Territories - Any agency or instrumentality of the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Trust Territories of the Pacific Islands, and Mariana Islands. Included are the political subdivisions of the territories, institutions of higher education, and hospitals.*

*Federally Recognized Indian Tribal Organizations - The governing body or a governmental agency of an Indian Tribe, nation, or other organized group or community recognized and certified by the Secretary of the Interior. Included are Native villages as defined in the Alaska Native Claims Settlement Act.*

*(Note: The information contained in this Index was taken from the Applicant Eligibility section of the program descriptions and from other sources. As a potential applicant, if you feel you also qualify to apply for assistance under a particular program but the Index says otherwise, always contact the agency contact persons. As regarding whether or not a potential applicant is eligible for a program, the agency is always the best source.*

## DEPARTMENT OF AGRICULTURE

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 10.001 Agricultural Research—Basic and Applied Research (B,L) | X | X | X | X | X | X |
| 10.025 Plant and Animal Disease and Pest Control (J,L) |  |  |  | X | X |  |
| 10.051 Commodity Loans and Purchases (D,E) | X |  |  |  |  |  |
| 10.052 Cotton Production Stabilization (D) | X |  |  |  |  |  |
| 10.053 Dairy Indemnity Payments (D) | X |  |  |  | X |  |
| 10.054 Emergency Conservation Program (C) | X |  |  |  |  |  |
| 10.055 Feed Grain Production Stabilization (D) | X |  |  |  |  |  |
| 10.056 Storage Facilities and Equipment Loans (E) | X |  |  |  |  |  |
| 10.058 Wheat Production Stabilization (D) | X |  |  |  |  |  |
| 10.059 National Wool Act Payments (D) | X | X | X | X | X | X |
| 10.062 Water Bank Program (C) | X |  |  |  |  |  |
| 10.063 Agricultural Conservation Program (C) | X |  |  |  |  |  |
| 10.064 Forestry Incentives Program (C) | X |  |  |  |  | X |
| 10.065 Rice Production Stabilization (D) | X |  |  |  |  |  |
| 10.066 Emergency Feed Program (D) | X |  |  |  |  |  |
| 10.067 Grain Reserve Program (D) | X |  |  |  |  |  |
| 10.068 Rural Clean Water Program (C) | X |  |  |  |  | X |
| 10.153 Market News (L) | X | X | X | X | X | X |
| 10.154 Market Supervision and Assistance (J,K,M) | X |  | X | X |  |  |
| 10.155 Marketing Agreements and Orders (J,K) | X |  |  |  |  |  |
| 10.156 Federal-State Marketing Improvement Program (B) |  |  |  | X |  |  |
| 10.162 Inspection Grading and Standardization (J) | X |  |  |  |  |  |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 10.163 Market Protection and Promotion (J,K,M) | X | X | X | X | X | X |
| 10.164 Wholesale Market Development (K) | | | | X | | |
| 10.165 Perishable Agricultural Commodities Act (N) | | X | | | | |
| 10.200 Grants for Agricultural Research, Special Research Grants (B) | | | X | | | |
| 10.202 Cooperative Forestry Research (A) | | | | X | X | |
| 10.203 Payments to Agricultural Experiment Stations Under Hatch Act (A) | | | X | X | X | |
| 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee Institute (A) | | | X | | | |
| 10.206 Grants for Agricultural Research—Competitive Research Grants (B) | X | | X | X | | |
| 10.207 Animal Health and Disease Research (A) | | | X | X | | |
| 10.208 Alcohol Fuels Research (B) | | | X | X | X | |
| 10.250 Agricultural and Rural Economic Research (L) | X | X | X | X | X | X |
| 10.350 Techaical Assistance to Cooperatives (K,L) | X | | | | | |
| 10.375 Human Nutrition Information Service (L) | X | X | X | X | | |
| 10.404 Emergency Loans (F) | X | | | X | | |
| 10.405 Farm Labor Housing Loans and Grants (B,F) | X | X | X | X | | |
| 10.406 Farm Operating Loans (F) | X | | | | | |
| 10.407 Farm Ownership Loans (F) | X | | | | | |
| 10.408 Grazing Association Loans (F) | X | | X | | | |
| 10.409 Irrigation, Drainage, and Other Soil and Water Conservation Loans (F) | | | X | | | |
| 10.410 Low to Moderate Income Housing Loans (F) | X | | | | | |
| 10.411 Rural Housing Site Loans (E,F) | | | X | | | |
| 10.413 Recreation Facility Loans (F) | X | | | | | |
| 10.414 Resource Conservation and Development Loans (F) | | | X | | | |
| 10.415 Rural Rental Housing Loans (F) | X | X | X | X | | |
| 10.416 Soil and Water Loans (F) | X | | | | | |
| 10.417 Very Low-Income Housing Repair Loans and Grants (B,E) | X | | | | | |
| 10.418 Water and Waste Disposal Systems for Rural Communities (B,E) | | X | X | | | X |
| 10.419 Watershed Protection and Flood Prevention Loans (F) | | | X | | | |
| 10.420 Rural Self-Help Housing Technical Assistance (B) | | X | X | X | | |
| 10.421 Indian Tribes and Tribal Corporation Loans (F) | X | | | | | X |
| 10.422 Business and Industrial Loans (F) | X | X | X | | | X |
| 10.423 Community Facilities Loans (F) | X | X | X | X | X | |
| 10.427 Rural Rental Assistance Payments (C) | X | X | X | X | | |
| 10.428 Economic Emergency Loans (F) | X | | | | | |
| 10.430 Energy Impacted Area Development Assistance Program (B) | | X | | X | | |
| 10.431 Technical and Supervisory Assistance Grants (B) | | X | X | X | X | X |
| 10.450 Crop Insurance (G) | X | | | | | |
| 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B) | | | | X | X | |
| 10.477 Meat and Poultry Inspection (J) | X | | | | | |
| 10.500 Cooperative Extension Service (A) | | | X | | X | |
| 10.550 Food Distribution (A,H) | | | X | X | X | X |
| 10.551 Food Stamps (C) | | | | X | X | |
| 10.553 School Breakfast Program (A) | | | X | X | X | |
| 10.555 National School Lunch Program (A) | | | X | X | X | |
| 10.556 Special Milk Program for Children (A) | | | X | X | | |
| 10.557 Special Supplemental Food Program for Women, Infants, and Children (A) | | X | X | X | X | |
| 10.558 Child Care Food Program (A,H) | | | | X | X | |
| 10.559 Summer Food Service Program for Children (A) | | | X | X | X | |
| 10.560 State Administrative Expenses for Child Nutrition (A) | | | | X | | |
| 10.561 State Administrative Matching Grants for Food Stamp Program (A) | | | | X | | |
| 10.564 Nutrition Education and Training Program (A) | | | | X | X | |
| 10.565 Commodity Supplemental Food Program (A,B,H) | | | | X | | X |
| 10.652 Forestry Research (B) | | X | X | X | X | |
| 10.663 Young Adult Conservation Corps—Grants to States (B) | | X | X | X | X | |
| 10.664 Cooperative Forestry Assistance (A,B) | | | | X | | |
| 10.665 Schools and Roads—Grants to States (A) | | | | X | X | |
| 10.666 Schools and Roads—Grants to Counties (A) | | X | | | | |
| 10.667 School Funds—Grants to Arizona (A) | | | | X | | |
| 10.668 Additional Lands—Grants to Minnesota (A) | | | | X | | |
| 10.669 Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area (B) | | | | X | | |
| 10.700 National Agricultural Library (L) | X | X | X | X | X | |
| 10.800 Livestock and Poultry Market Supervision (N) | X | X | X | X | X | X |
| 10.850 Rural Electrification Loans and Loan Guarantees (F) | | X | X | | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 10.851 Rural Telephone Loans and Loan Guarantees (F) | | | X | | | |
| 10.852 Rural Telephone Bank Loans (E) | X | X | X | X | X | X |
| 10.900 Great Plains Conservation (C,K) | X | | | | | |
| 10.901 Resource Conservation and Development (B,K) | | X | X | X | | |
| 10.902 Soil and Water Conservation (K) | X | X | X | X | X | |
| 10.903 Soil Survey (L) | X | X | X | X | X | X |
| 10.904 Watershed Protection and Flood Prevention (B,K) | | X | X | X | X | |
| 10.905 Plant Materials for Conservation (H) | X | | X | X | X | |
| 10.906 River Basin Surveys and Investigations (J,K) | | X | | X | | |
| 10.907 Snow Survey and Water Supply Forecasting (L) | X | X | X | X | X | X |
| 10.908 Inventory and Monitoring (L) | X | X | X | X | X | X |
| 10.909 Resource Appraisal and Program Development (B,L) | X | X | X | X | X | |
| 10.910 Rural Abandoned Mine Program (C,K) | X | X | | | | |
| 10.950 Agriculture Statistical Reports (L) | X | X | X | X | X | X |

## DEPARTMENT OF COMMERCE

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 11.001 Census Bureau Data Products (L) | X | X | X | X | X | X |
| 11.002 Census Data User Services (K,L,M) | X | X | X | X | X | X |
| 11.003 Census Geography (J,L) | X | X | X | X | X | X |
| 11.004 Census Intergovernmental Services (K,L,M) | X | X | | X | | |
| 11.005 Census Special Tabulations and Services (J,L) | X | X | X | X | | |
| 11.006 Personal Census Search (J) | X | | | | | |
| 11.025 Measures and Analyses of the U.S. Economy (L) | X | X | X | X | X | X |
| 11.027 Productivity and Economic Growth (L) | X | | | | | |
| 11.050 Business Assistance, Services, and Information (K) | X | X | X | X | X | X |
| 11.100 Export Licensing Service and Information (K) | X | X | X | X | X | X |
| 11.105 Importation of Duty-Free Educational and Scientific Materials (J) | | | X | | | |
| 11.106 Antidumping Duties (J,N) | X | X | X | X | X | X |
| 11.107 Countervailing Duty on Imports (J,N) | X | X | X | X | X | X |
| 11.108 International Trade Promotion (K) | X | X | X | X | X | X |
| 11.109 Trade Adjustment Assistance (TAA) (E,F) | X | | | | | |
| 11.300 Economic Development—Grants for Public Works and Development Facilities (B) | X | X | X | X | | |
| 11.301 Economic Development—Business Development Assistance (E,F) | X | | X | | | X |
| 11.302 Economic Development—Support for Planning Organizations (B) | | X | | | | X |
| 11.303 Economic Development—Technical Assistance (B) | X | X | X | X | X | |
| 11.304 Economic Development—Public Works Impact Projects (B) | X | X | X | X | | X |
| 11.305 Economic Development—State and Local Economic Development Planning (B) | | X | | X | | |
| 11.306 Economic Development—District Operational Assistance (B) | | X | | | | |
| 11.307 Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) | | X | X | X | | X |
| 11.400 Geodetic Surveys and Services (J,K,L) | | X | | X | | |
| 11.401 Nautical Charts and Related Data (J,K,L) | | X | | X | | |
| 11.402 Marine Boundary Program (J,K,L) | | X | | X | | |
| 11.405 Anadromous and Great Lakes Fisheries Conservation (B) | X | | X | | | |
| 11.407 Commercial Fisheries Research and Development (A) | | | | X | | |
| 11.408 Fishermen's Contingency Fund (C) | X | | | | | |
| 11.409 Fishing Vessel and Gear Damage Compensation Fund (C) | X | | | | | |
| 11.410 Fishermen's Guaranty Fund (G) | X | | | | | |
| 11.411 Fishery Cooperative Services (K,L) | X | | X | | | |
| 11.413 Fishery Products Inspection and Certification (J) | X | X | | X | | |
| 11.415 Fishing Vessel Obligation Guarantees (F) | X | | | | | |
| 11.417 Sea Grant Support (B) | X | X | X | X | | |
| 11.419 Coastal Zone Management Program Administration (B) | | | | X | X | |
| 11.420 Coastal Zone Management Estuarine Sanctuaries (B) | | | | X | X | |
| 11.421 Coastal Energy Impact Program—Formula Grants (A) | | | | X | | |
| 11.422 Coastal Energy Impact Program—Planning Grants (B) | | | | X | X | |
| 11.423 Coastal Energy Impact Program—Loans and Guarantees (E) | | | | X | | |
| 11.424 Coastal Energy Impact Program—Environmental Grants (B) | | | | X | | |
| 11.425 Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) | | | | X | | |
| 11.426 Financial Assistance for Marine Pollution Research (B) | X | X | X | X | | |
| 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B) | X | X | X | X | X | X |
| 11.428 Intergovernmental Climate—Demonstration Project (B) | X | X | X | X | X | X |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 11.550 Public Telecommunications Facilities (B) | X | X | X | X | | |
| 11.551 Public Telecommunications Services Program (B) | | | X | | | |
| 11.601 Calibration and Testing Services (L) | X | X | X | X | | |
| 11.603 National Standard Reference Data System (L) | X | X | X | X | | |
| 11.604 Standard Reference Materials (L) | X | X | X | X | | |
| 11.606 Weights and Measures Service (K,L,M) | X | X | X | X | X | X |
| 11.650 National Technical Information Service (L) | X | X | X | X | X | X |
| 11.651 Science Information Exchange, Inc. (L) | X | X | X | X | X | X |
| 11.800 Minority Business Development—Management and Technical Assistance (B) | X | X | X | X | X | X |
| 11.900 Patent and Trademark Technical Information Dissemination (L) | X | X | X | X | X | X |

## DEPARTMENT OF DEFENSE

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 12.001 Industrial Equipment Loans to Educational Institutions (I) | | | X | | | |
| 12.100 Aquatic Plant Control (J,L) | | X | X | X | | |
| 12.101 Beach Erosion Control Projects (J) | | X | X | X | | |
| 12.102 Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (J) | X | X | | X | | |
| 12.103 Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (J) | | X | X | X | | |
| 12.104 Flood Plain Management Services (K,L) | X | X | X | X | | |
| 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J) | | X | | X | | |
| 12.106 Flood Control Projects (J) | | X | | X | | |
| 12.107 Navigation Projects (J) | | X | | X | | |
| 12.108 Snagging and Clearing for Flood Control (J) | | X | | X | | |
| 12.109 Protection, Clearing and Straightening Channels (J) | | X | X | X | | |
| 12.110 Planning Assistance to States (J) | | | | X | X | |
| 12.400 Military Construction, Army National Guard (B) | | | | X | X | |
| 12.500 U.S. Soldiers' and Airmen's Home (J) | X | | | | | |
| 12.600 Community Economic Adjustment (J,K) | | X | X | X | | |
| 12.606 Selected Reserve Educational Assistance Program (C) | X | | | | | |
| 12.700 Donations/Loans of Obsolete DOD Property (I) | X | X | X | X | | |

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 13.103 Food and Drug Administration—Research (B) | X | X | X | X | | |
| 13.108 Health Education Assistance Loans (F) | X | | | | | |
| 13.110 Maternal and Child Health Federal Consolidated Programs (B) | | | X | | | |
| 13.111 Adolescent Family Life Research Grants (B) | | X | X | X | X | X |
| 13.217 Family Planning Projects (B) | | X | X | X | X | |
| 13.224 Community Health Centers (B) | | X | X | X | | |
| 13.226 Health Services Research and Development—Grants (B) | X | X | X | X | X | |
| 13.228 Indian Health Services—Health Management Development Program (B) | | | | | | X |
| 13.242 Mental Health Research Grants (B) | X | X | X | X | X | X |
| 13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L) | X | X | X | X | X | X |
| 13.244 Mental Health Clinical or Service Related Training Grants (B) | | X | X | X | | |
| 13.246 Migrant Health Centers Grants (B) | | X | X | X | X | |
| 13.256 Health Maintenance Organizations (B,E,F) | X | X | X | X | | |
| 13.258 National Health Service Corps (J) | | X | X | | | |
| 13.260 Family Planning Services (B) | | X | X | X | X | |
| 13.262 Occupational Safety and Health Research Grants (B) | X | X | X | X | X | |
| 13.263 Occupational Safety and Health—Training Grants (B) | | X | X | X | | |
| 13.268 Childhood Immunization Grants (B) | | X | X | X | | |
| 13.271 Alcohol Research Scientist Development and Research Scientist Awards (B) | | X | X | X | | |
| 13.272 Alcohol National Research Service Awards for Research Training (B) | X | | | | | |
| 13.273 Alcohol Research Programs (B) | X | X | X | X | | |
| 13.274 Alcohol Clinical or Service Related Training Programs (B) | | X | X | X | X | |
| 13.277 Drug Abuse Research Scientist Development and Research Scientist Awards (B) | | X | X | X | | |
| 13.278 Drug Abuse National Research Service Awards for Research Training (B) | X | | | | | |
| 13.279 Drug Abuse Research Programs (B) | X | X | X | X | | |

| Program Description | Individual | Local | Nonprofit | State | U S Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 13.280 Drug Abuse Clinical or Service Related Training Programs (B) | | | X | | | |
| 13.281 Mental Health Research Scientist Development and Research Scientist Awards (B) | X | X | X | X | | |
| 13.282 Mental Health National Research Service Awards for Research Training (B) | X | | X | | | |
| 13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M) | X | X | X | X | | |
| 13.288 National Health Service Corps Scholarship Program (B) | X | | | | | |
| 13.289 President's Council on Physical Fitness and Sports (J,K,L,M) | X | X | X | X | X | X |
| 13.293 State Health Planning and Development Agencies (B) | | | | X | X | |
| 13.294 Health Planning—Health Systems Agencies (B) | | X | X | | X | |
| 13.297 National Research Service Awards (B) | X | | | | | |
| 13.298 Nurse Practitioner Training Program and Nurse Practitioner Traineeships (B) | | X | X | X | | |
| 13.299 Advanced Nurse Training Program (B) | | | X | | | |
| 13.306 Laboratory Animal Sciences and Primate Research (B) | | | X | | | |
| 13.333 Clinical Research (B) | | | X | | | |
| 13.337 Biomedical Research Support (B) | | | X | X | | |
| 13.339 Health Professions—Capitation Grants (B) | | | X | | | |
| 13.342 Health Professions—Student Loans (B) | | X | X | X | X | |
| 13.358 Professional Nurse Traineeships (B) | | X | X | X | | X |
| 13.359 Nurse Training Improvement—Special Projects (B) | | | X | | | |
| 13.361 Nursing Research Project Grants (B) | X | X | X | X | | |
| 13.363 Nursing Scholarships (B) | | | X | | | |
| 13.364 Nursing Student Loans (B) | | | X | | | |
| 13.371 Biotechnology Research (B) | | | X | | | |
| 13.375 Minority Biomedical Research Support (B) | X | | X | X | | X |
| 13.379 Grants for Graduate Training in Family Medicine (B) | | X | X | X | | |
| 13.381 Health Professions—Financial Distress Grants (B) | | | X | X | | |
| 13.384 Health Professions—Start-Up Assistance (B) | | | X | | | |
| 13.392 Cancer—Construction (B) | | X | X | X | | |
| 13.393 Cancer Cause and Prevention Research (B) | | X | X | X | | |
| 13.394 Cancer Detection and Diagnosis Research (B) | | X | X | X | | |
| 13.395 Cancer Treatment Research (B) | | X | X | X | | |
| 13.396 Cancer Biology Research (B) | | X | X | X | | |
| 13.397 Cancer Centers Support (B) | | X | X | X | | |
| 13.398 Cancer Research Manpower (B) | | | X | | | |
| 13.399 Cancer Control (B) | | X | X | X | | |
| 13.600 Administration for Children, Youth and Families—Head Start (B) | | X | X | | | |
| 13.608 Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B) | | X | X | X | | |
| 13.612 Native American Programs—Financial Assistance Grants (B) | | | X | X | | X |
| 13.613 Mental Retardation—President's Committee on Mental Retardation (L) | X | X | X | X | X | X |
| 13.623 Administration for Children, Youth and Families—Runaway Youth (B) | | X | X | X | | |
| 13.628 Child Abuse and Neglect Prevention and Treatment (A,B) | | X | X | X | | |
| 13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) | | | | X | X | |
| 13.631 Administration on Developmental Disabilities—Special Projects (B) | | X | X | X | | |
| 13.632 Administration on Developmental Disabilities—University Affiliated Facilities (B) | | X | X | X | | |
| 13.633 Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers (A) | | | | X | X | |
| 13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services (A) | | | | X | X | |
| 13.645 Child Welfare Services—State Grants (A) | | | | X | X | |
| 13.646 Work Incentive Program (A) | | | | X | X | |
| 13.647 Social Services Research and Demonstration (B) | X | | X | X | | X |
| 13.648 Child Welfare Services Training Grants (B) | | X | X | X | | |
| 13.652 Administration for Children, Youth and Families—Adoption Opportunities (B) | | X | X | X | | |
| 13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes (B) | | X | | | | X |
| 13.658 Foster Care—Title IV—E (A) | | | | X | X | |
| 13.659 Adoption Assistance (A) | | | | X | X | |

| Program Description | Individual | Local | Nonprofit | State | U S Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 13.661 Native American Programs—Research, Demonstration, and Evaluation (B) | | | X | | | X |
| 13.662 Native American Programs—Training and Technical Assistance (B) | | | X | | | X |
| 13.665 Community Services Block Grant (A) | | | | X | X | X |
| 13.667 Social Services Block Grant (A) | | | | X | X | |
| 13.668 Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B) | | | X | | | |
| 13.675 Civil Rights Compliance Activities (L,N) | X | X | X | X | X | X |
| 13.676 Surplus Property Utilization (H) | | X | X | X | | |
| 13.678 Consumer Affairs (K,L) | X | X | X | X | | |
| 13.679 Child Support Enforcement (A,J) | | | | X | X | |
| 13.714 Medical Assistance Program (A) | | X | | X | | |
| 13.766 Health Financing Research, Demonstrations and Experiments (B) | | | X | X | | |
| 13.773 Medicare—Hospital Insurance (C) | X | | | | | |
| 13.774 Medicare—Supplementary Medical Insurance (C) | X | | | | | |
| 13.775 State Medicaid Fraud Control Units (A) | | | | X | | |
| 13.776 Professional Standards Review Organizations (B) | | | X | | | |
| 13.777 State Health [illegible]e Providers Survey Certification (A,B) | | | | X | | |
| 13.802 Social Security—Disability Insurance (D) | X | | | | | |
| 13.803 Social Security—Retirement Insurance (D) | X | | | | | |
| 13.804 Social Security—Special Benefits for Persons Aged 72 and Over (D) | X | | | | | |
| 13.805 Social Security—Survivors Insurance (D) | X | | | | | |
| 13.806 Special Benefits for Disabled Coal Miners (D) | X | | | | | |
| 13.807 Supplemental Security Income (D) | X | | | | | |
| 13.808 Assistance Payments—Maintenance Assistance (A) | | X | | X | X | |
| 13.810 Assistance Payments—State and Local Training (A) | | | | X | X | |
| 13.812 Assistance Payments—Research (B) | X | | X | X | | |
| 13.814 Refugee Assistance—State Administered Programs (D) | | | | X | | |
| 13.815 Refugee Assistance—Voluntary Agency Programs (B) | | | X | X | | |
| 13.817 Entrant Assistance—Cuban and Haitian Entrants (D) | | | | X | | |
| 13.818 Low-Income Home Energy Assistance (A) | | | | X | X | X |
| 13.820 Scholarships for First-Year Students of Exceptional Financial Need (B) | | | X | | | |
| 13.821 Physiology and Biomedical Engineering (B) | X | X | X | X | | |
| 13.822 Health Careers Opportunity Program (B) | | X | X | X | | |
| 13.823 Primary Care Research and Demonstration Projects (B) | | X | X | X | | |
| 13.824 Area Health Education Centers (B) | | X | X | X | | |
| 13.837 Heart and Vascular Diseases Research (B) | X | X | X | | | |
| 13.838 Lung Diseases Research (B) | X | X | X | | | |
| 13.839 Blood Diseases and Resources Research (B) | X | X | X | | | |
| 13.840 Caries Research (B) | X | X | X | | | |
| 13.841 Periodontal Diseases Research (B) | X | X | X | | | |
| 13.842 Craniofacial Anomalies Research (B) | X | X | X | X | | |
| 13.843 Restorative Materials Research (B) | X | X | X | X | | |
| 13.844 Pain Control and Behavioral Studies (B) | X | X | X | X | | |
| 13.845 Dental Research Institutes (B) | | | X | X | | |
| 13.846 Arthritis, Musculoskeletal and Skin Diseases Research (B) | X | X | X | X | | |
| 13.847 Diabetes, Endocrinology and Metabolism Research (B) | X | X | X | X | | |
| 13.848 Digestive Diseases and Nutrition Research (B) | X | X | X | X | | |
| 13.849 Kidney Diseases, Urology and Hematology Research (B) | X | X | X | X | | |
| 13.853 Clinical Research (B) | X | X | X | X | | |
| 13.854 Biological Basis Research (B) | X | X | X | X | | |
| 13.855 Immunology, Allergic and Immunologic Diseases Research (B) | X | X | X | X | | |
| 13.856 Microbiology and Infectious Diseases Research (B) | X | X | X | X | | |
| 13.859 Pharmacological Sciences (B) | X | X | X | X | | |
| 13.862 Genetics Research (B) | X | X | X | X | | |
| 13.863 Cellular and Molecular Basis of Disease Research (B) | X | X | X | X | | |
| 13.864 Population Research (B) | X | X | X | X | | |
| 13.865 Research for Mothers and Children (B) | X | X | X | X | | |
| 13.866 Aging Research (B) | X | X | X | X | | |
| 13.867 Retinal and Choroidal Diseases Research (B) | X | X | X | X | | |
| 13.868 Corneal Diseases Research (B) | X | X | X | X | | |
| 13.869 Cataract Research (B) | X | X | X | X | | |
| 13.870 Glaucoma Research (B) | X | X | X | X | | |
| 13.871 Strabismus, Amblyopia and Visual Processing (B) | X | X | X | X | | |
| 13.878 Soft Tissue Stomatology and Nutrition Research (B) | X | X | X | | | |
| 13.879 Medical Library Assistance (B) | X | X | X | X | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 13.880 Minority Access to Research Careers (B) | X | X | X | X | | |
| 13.884 Grants for Residency Training in General Internal Medicine and/or General Pediatrics (B) | | X | X | X | | |
| 13.886 Grants for Physician Assistant Training Program (B) | | X | X | X | | |
| 13.891 Alcohol Research Center Grants (B) | | X | X | X | | |
| 13.892 Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) | | X | X | X | | |
| 13.893 Mechanisms of Environmental Diseases and Disorders (B) | X | X | X | X | | |
| 13.894 Environmental Health Research and Manpower Development Resources (B) | | | X | X | | |
| 13.895 Grants for Faculty Development in Family Medicine (B) | | | X | X | | |
| 13.896 Grants for Predoctoral Training in Family Medicine (B) | | | X | X | | |
| 13.897 Residency Training in the General Practice of Dentistry (B) | | | X | X | X | |
| 13.962 Health Administration Graduate Traineeships (B) | | | X | X | | |
| 13.963 Graduate Programs in Health Administration (B) | | | X | X | | |
| 13.964 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (B) | | | X | X | | |
| 13.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B) | | X | X | X | | |
| 13.969 Curriculum Development Grants (B) | | X | X | X | | |
| 13.970 Health Professions Recruitment Program for Indians (B) | X | X | X | | | X |
| 13.971 Health Professions Preparatory Scholarship Programs for Indians (B) | X | | | | | |
| 13.972 Health Professions Scholarship Program for Indians (B) | X | | | | | |
| 13.973 Special Loans for Former National Health Service Corps Members to Enter Private Practice (E) | X | | | | | |
| 13.974 Family Planning Services Delivery Improvement Research Grants (B) | | | X | X | | |
| 13.977 Preventive Health Services—Venereal Disease Control Grants (B) | | X | | X | | |
| 13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B) | | X | X | X | | |
| 13.982 Mental Health Disaster Assistance and Emergency Mental Health (B) | | X | X | X | | |
| 13.983 Health Facility Energy Cost Management (K,L) | | X | X | X | | |
| 13.984 Grants for Establishment of Departments of Family Medicine (B) | | | X | X | | |
| 13.985 Eye Research—Facility Construction (B) | | | X | X | | |
| 13.987 Health Programs for Refugees (B) | | X | | X | | |
| 13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B) | | | | X | | |
| 13.989 Senior International Awards Program (B) | X | | | | | |
| 13.990 National Health Promotion Training Network (B) | | | X | | | |
| 13.991 Preventive Health and Health Services Block Grant (A) | | | | X | | X |
| 13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A) | | | | X | X | X |
| 13.994 Maternal and Child Health Services Block Grants (A) | | | X | | | |
| 13.995 Adolescent Family Life Demonstration Projects (B) | | X | X | X | | |

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

| | | | | | | |
|---|---|---|---|---|---|---|
| 14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F) | X | | X | | | |
| 14.105 Interest Reduction—Homes for Lower Income Families (C,F) | X | | | | | |
| 14.108 Rehabilitation Mortgage Insurance (F) | X | | | | | |
| 14.110 Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers (F) | X | | | | | |
| 14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F) | X | | X | | | |
| 14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects (F) | | | X | | | |
| 14.116 Mortgage Insurance—Group Practice Facilities (F) | | | X | | | |
| 14.117 Mortgage Insurance—Homes (F) | X | | | | | |
| 14.118 Mortgage Insurance—Homes for Certified Veterans (F) | X | | | | | |
| 14.119 Mortgage Insurance—Homes for Disaster Victims (F) | X | | | | | |
| 14.120 Mortgage Insurance—Homes for Low and Moderate Income Families (F) | X | | | | | |
| 14.121 Mortgage Insurance—Homes in Outlying Areas (F) | X | | | | | |
| 14.122 Mortgage Insurance—Homes in Urban Renewal Areas (F) | X | | | | | |
| 14.123 Mortgage Insurance—Housing in Older, Declining Areas (F) | X | | | | | |
| 14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F) | X | | X | | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 14.125 Mortgage Insurance—Land Development and New Communities (F) | X | | X | | | |
| 14.126 Mortgage Insurance—Management Type Cooperative Projects (F) | | | X | | | |
| 14.127 Mortgage Insurance—Manufactured (Mobile) Home Parks (F) | X | | | | | |
| 14.128 Mortgage Insurance—Hospitals (F) | X | | X | | | |
| 14.129 Mortgage Insurance—Nursing Homes and Intermediate Care Facilities (F) | X | | X | | | |
| 14.130 Mortgage Insurance—Purchase by Homeowners of Fee Simple Title From Lessors (F) | X | | | | | |
| 14.132 Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units (F) | | | X | | | |
| 14.133 Mortgage Insurance—Purchase of Units in Condominiums (F) | X | | | | | |
| 14.134 Mortgage Insurance—Rental Housing (F) | X | | X | | | |
| 14.135 Mortgage Insurance—Rental Housing for Moderate Income Families (F) | X | | X | | | |
| 14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F) | X | | X | | | |
| 14.138 Mortgage Insurance—Rental Housing for the Elderly (F) | X | | X | | | |
| 14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F) | X | | X | | | |
| 14.140 Mortgage Insurance—Special Credit Risks (F) | X | | | | | |
| 14.141 Nonprofit Sponsor Assistance Program (E) | | | X | | | |
| 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F) | X | | | | | |
| 14.146 Low Income Housing—Assistance Program (C,E) | | X | X | | | X |
| 14.147 Low Income Housing—Homeownership Opportunities for Low Income Families (C,E) | | X | X | | | |
| 14.149 Rent Supplements—Rental Housing for Lower Income Families (C) | X | | X | | | |
| 14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F) | X | | | | | |
| 14.152 Mortgage Insurance—Experimental Homes (F) | X | X | X | X | X | X |
| 14.153 Mortgage Insurance—Experimental Projects Other Than Housing (F) | X | X | X | X | X | X |
| 14.154 Mortgage Insurance—Experimental Rental Housing (F) | X | X | X | X | X | X |
| 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F) | X | X | X | X | X | X |
| 14.156 Lower Income Housing Assistance Program (C) | X | X | X | X | | |
| 14.157 Housing for the Elderly or Handicapped (E) | | | X | | | |
| 14.158 Public Housing—Comprehensive Improvement Assistance Program (B,C,E) | | X | | | | |
| 14.159 Section 245 Graduated Payment Mortgage Program (F) | X | X | X | X | X | X |
| 14.161 Single-Family Home Mortgage Coinsurance (F) | X | X | X | X | X | X |
| 14.162 Mortgage Insurance—Combination and Mobile Home Lot Loans (F) | X | X | X | X | X | X |
| 14.163 Mortgage Insurance—Cooperative Financing (F) | X | | | | | |
| 14.164 Operating Assistance for Troubled Multifamily Housing Projects (B,C) | X | | X | | | |
| 14.165 Mortgage Insurance—Homes—Military Impacted Areas (F) | X | | | | | |
| 14.166 Mortgage Insurance—Homes for Members of the Armed Services (F) | X | | | | | |
| 14.167 Mortgage Insurance—Two Year Operating Loss Loans, Section 223(d) (F) | | | | | | |
| 14.168 Land Sales—Parcels of Subdivided Land (L,N) | X | | | | | |
| 14.169 Housing Counseling Program (B) | X | X | X | X | | |
| 14.170 Congregate Housing Services Program (B) | | X | X | | | |
| 14.171 Manufactured Housing—Mobile Home Construction (L,N) | X | X | X | X | X | X |
| 14.207 New Communities—Loan Guarantees (F) | X | X | X | X | | |
| 14.211 Surplus Land for Low and Moderate Income Housing (H,K) | X | X | X | X | X | X |
| 14.218 Community Development Block Grants/Entitlement Grants (A) | | X | X | X | | |
| 14.219 Community Development Block Grants/Small Cities Program (B) | | X | | X | | |
| 14.220 Section 312 Rehabilitation Loans (E) | X | | | | | |
| 14.221 Urban Development Action Grants (B) | X | X | | | | |
| 14.222 Urban Homesteading (H) | | X | | X | | |
| 14.228 Community Development Block Grants/State's Program (A) | | X | | X | | |
| 14.229 Community Development Block Grants/Secretary's Discretionary Fund (B,C) | | X | | X | X | X |
| 14.400 Equal Opportunity in Housing (N) | X | | | | | |
| 14.401 Fair Housing Assistance Program (B) | | X | | X | | |
| 14.402 Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (N) | X | X | X | X | X | X |
| 14.403 Community Housing Resource Board Program (B) | | | X | | | |
| 14.506 General Research and Technology Activity (B) | X | X | X | X | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| **DEPARTMENT OF THE INTERIOR** | | | | | | |
| 15.103 Indian Social Services—Child Welfare Assistance (D) | | | | | | X |
| 15.108 Indian Employment Assistance (B,K) | | | | | | X |
| 15.113 Indian Social Services—General Assistance (D) | | | | | | X |
| 15.114 Indian Education—Higher Education Grant Program (B) | | | | | | X |
| 15.123 Indian Loans—Claims Assistance (E) | | | | | | X |
| 15.124 Indian Loans—Economic Development (E,F,J) | | | | | | X |
| 15.130 Indian Education—Assistance to Schools (C) | | | | | | X |
| 15.141 Indian Housing Assistance (B,K,L,M) | | | | | | X |
| 15.142 Self Determination Grants—Indian Tribal Governments (B) | | | | | | X |
| 15.143 Training and Technical Assistance—Indian Tribal Governments (B,J,K,M) | | | | | | X |
| 15.144 Indian Child Welfare Act—Title II Grants (B) | | | | | | X |
| 15.206 Mineral Privileges (I) | X | | | | | |
| 15.207 Mineral Leasing (I) | | | X | | | |
| 15.214 Non-Sale Disposals of Mineral Material (H) | | | X | X | | |
| 15.215 Sale of Mineral Material (H) | X | | X | | | |
| 15.217 Cooperative Agreements With Interpretive Associations (I) | | | X | | | |
| 15.218 Special Recreation Permits (I) | X | X | X | X | | |
| 15.219 Wildlife Habitat Management Technical Assistance (B) | | | | X | | |
| 15.220 Law Enforcement (B) | | X | | X | | |
| 15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C) | X | | | X | | |
| 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B) | X | X | | X | | X |
| 15.501 Irrigation Distribution System Loans (E) | | X | | X | | |
| 15.502 Irrigation Systems Rehabilitation and Betterment (E) | | | | X | | |
| 15.503 Small Reclamation Projects (B,E) | | | X | | | |
| 15.600 Anadromous Fish Conservation (B) | X | X | X | X | X | X |
| 15.601 Animal Damage Control (J,K,L,M) | X | X | X | X | X | X |
| 15.602 Conservation Law Enforcement Training Assistance (M) | | | | X | | |
| 15.603 Farm Fish Pond Management (H) | X | | | | | |
| 15.604 Fishery Research—Information (L) | X | X | X | X | X | X |
| 15.605 Fish Restoration (A,B) | | | | X | X | |
| 15.606 Migratory Bird Banding and Data Analysis (L) | X | X | X | X | X | X |
| 15.607 Environmental Contaminant Evaluation (K,L,M) | X | X | X | X | X | X |
| 15.608 Sport Fish Technical Assistance (J) | | | | X | | X |
| 15.609 Wildlife Technical Assistance (K,L,M) | | | X | | | X |
| 15.610 Wildlife Ecology Research Information (L) | X | X | X | X | X | X |
| 15.611 Wildlife Restoration (A,B) | | | | X | X | |
| 15.612 Endangered Species Conservation (B) | | | | X | X | |
| 15.613 Marine Mammal Grant Program (B) | | | | X | | |
| 15.800 Geologic and Mineral Resource Surveys and Mapping (J,L) | | X | | X | | |
| 15.801 Cartographic Information (L) | X | X | X | X | X | X |
| 15.803 National Mapping, Geography and Surveys (J,L) | | X | | X | | |
| 15.804 Water Resources Investigations (J,L) | | X | | X | | |
| 15.850 Indian Arts and Crafts Development (I,K,N) | X | X | X | X | X | X |
| 15.900 Disposal of Surplus Wildlife (H) | | X | X | X | | X |
| 15.904 Historic Preservation Grants-In-Aid (B) | | | X | X | X | |
| 15.909 Historic American Buildings Survey/Historic American Engineering Record (J,K,L) | | X | X | X | | |
| 15.910 National Natural Landmarks Program (J,L) | X | X | X | X | X | X |
| 15.912 National Historic Landmark (K) | X | X | X | X | X | X |
| 15.914 National Register of Historic Places (K) | | | | X | X | |
| 15.915 Technical Preservation Services (J,K,L) | X | X | | X | | |
| 15.916 Outdoor Recreation—Acquisition, Development and Planning (B) | | X | | X | X | X |
| 15.917 Recreation—Technical Assistance (K,L,M) | X | X | X | X | X | X |
| 15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (K) | | X | | X | | |
| 15.919 Urban Park and Recreation Recovery Program (B) | | X | | | | |
| 15.950 National Water Research and Development Program (B) | X | X | X | X | | |
| 15.951 Water Resources Research and Technology—Assistance to State Institutes (A) | | | | X | X | |
| 15.952 Water Research and Technology—Matching Funds to State Institutes (B) | | | X | X | | |
| 15.953 Water Resources Scientific Information Center (L) | X | X | X | X | X | X |

## DEPARTMENT OF JUSTICE

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 16.001 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L) |  | X |  | X |  |  |
| 16.002 Law Enforcement Assistance—Narcotics and Dangerous Drugs—State Legislation (K) |  |  |  | X |  |  |
| 16.003 Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L) | X |  |  |  |  |  |
| 16.004 Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M) | X | X |  | X |  |  |
| 16.005 Public Education on Drug Abuse—Information (K) |  | X | X |  |  |  |
| 16.100 Desegregation of Public Education (J) | X |  |  |  |  |  |
| 16.101 Equal Employment Opportunity (J) | X | X | X | X | X | X |
| 16.103 Fair Housing and Equal Credit Opportunity (J) | X | X | X | X | X | X |
| 16.104 Protection of Voting Rights (J) | X | X | X | X | X | X |
| 16.105 Civil Rights of Institutionalized Persons (J) | X |  |  |  |  |  |
| 16.200 Community Relations Service (K) | X | X | X | X | X | X |
| 16.300 Law Enforcement Assistance—FBI Advanced Police Training (M) | X | X |  | X |  |  |
| 16.301 Law Enforcement Assistance—FBI Crime Laboratory Support (J,M) | X | X |  | X |  |  |
| 16.302 Law Enforcement Assistance—FBI Field Police Training (M) |  | X |  | X |  |  |
| 16.303 Law Enforcement Assistance—FBI Fingerprint Identification (J) |  | X |  | X |  |  |
| 16.304 Law Enforcement Assistance—National Crime Information Center (J). |  |  |  | X |  |  |
| 16.305 Law Enforcement Assistance—Uniform Crime Reports (L) | X | X |  | X |  |  |
| 16.400 Citizenship Education and Training (L) |  |  | X |  |  |  |
| 16.540 Juvenile Justice and Delinquency Prevention—Allocation to States (A) |  | X |  | X |  |  |
| 16.541 Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance (B) | X | X | X | X | X | X |
| 16.542 National Institute for Juvenile Justice and Delinquency Prevention (B) | X | X | X | X | X | X |
| 16.550 Criminal Justice Statistics Development (B) |  | X |  | X |  |  |
| 16.551 Statistics on Crime and Criminal Justice (L) | X | X | X | X | X | X |
| 16.553 Federal Statistics and Information Policy (B,L) |  | X | X | X |  |  |
| 16.560 Justice Research and Development Project Grants (B,L) | X | X | X | X |  |  |
| 16.561 National Institute of Justice Visiting Fellowships (B) | X | X | X | X | X | X |
| 16.562 Criminal Justice Research and Development—Graduate Research Fellowships (B) |  |  | X |  |  |  |
| 16.570 Civil Rights Compliance Activities (J,N) | X | X | X | X | X | X |
| 16.571 Public Safety Officers' Benefits Program (D) | X |  |  |  | X |  |
| 16.601 Corrections—Training and Staff Development (B,J,L,M) | X | X | X | X | X | X |
| 16.602 Corrections—Research and Evaluation and Policy Formulation (B,J,L) | X | X | X | X | X | X |
| 16.603 Corrections—Technical Assistance (B,J,L) | X | X | X | X | X | X |

## DEPARTMENT OF LABOR

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 17.002 Labor Force Statistics (L) | X | X | X | X | X | X |
| 17.003 Prices and Cost of Living Data (L) | X | X | X | X | X | X |
| 17.004 Productivity and Technology Data (L) | X | X | X | X | X | X |
| 17.005 Wages and Industrial Relations Data (L) | X | X | X | X | X | X |
| 17.006 Economic Growth Data (L) | X | X | X | X | X | X |
| 17.100 Labor-Management Relations Services (K,L) | X | X | X | X | X | X |
| 17.101 Labor Organization Reports (K,L,N) | X |  | X |  |  |  |
| 17.102 Veterans Reemployment Rights (K,L,N) | X |  |  |  |  |  |
| 17.103 Pension and Welfare Benefit Programs (L) | X |  |  |  |  |  |
| 17.201 Apprenticeship Training (K) | X |  |  |  |  |  |
| 17.202 Certification of Foreign Workers for Temporary Agricultural and Logging Employment (J,N) | X |  | X |  |  |  |
| 17.203 Certification for Immigrant Workers (J) | X |  | X |  |  |  |
| 17.207 Employment Service (A,J,K) |  |  |  | X | X |  |
| 17.225 Unemployment Insurance (A,D) |  |  |  | X |  |  |
| 17.230 Migrant and Seasonal Farmworkers (A,B) |  | X | X | X |  |  |
| 17.232 Comprehensive Employment and Training Programs (A,B) |  | X |  | X | X | X |
| 17.233 Employment and Training Research and Development Projects (B) | X | X | X | X | X |  |
| 17.234 Employment and Training—Indians and Native Americans (A,B) |  |  | X |  |  | X |
| 17.235 Senior Community Service Employment Program (A,B) |  |  | X | X | X |  |
| 17.243 Special National Programs and Activities for the Disadvantaged (B) | X | X | X | X |  | X |
| 17.245 Trade Adjustment Assistance—Workers (D,J) | X |  |  |  |  |  |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 17.301 Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N) | X | X | X | X | X | X |
| 17.302 Longshoremen's and Harbor Workers' Compensation (D) | X | | | | | |
| 17.303 Minimum Wage and Hour Standards (K,N) | X | | | | | |
| 17.306 Consumer Credit Protection (K,N) | X | | | | | |
| 17.307 Coal Mine Workers' Compensation (D) | X | | | | | |
| 17.308 Farm Labor Contractor Registration (K,N) | X | | | | | |
| 17.500 Occupational Safety and Health (B,K,L,M,N) | X | X | X | X | X | X |
| 17.600 Mine Health and Safety Grants (B) | | | | X | | |
| 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L) | X | | X | X | | |
| 17.602 Mine Health and Safety Education and Training (K,M) | X | X | X | X | X | X |
| 17.700 Women's Special Employment Assistance (K,L) | X | | | | | |
| 17.800 Exemplary Rehabilitation Certificates (J) | X | | | | | |
| 17.801 Disabled Veterans Outreach Program (B) | X | X | | X | | |

## DEPARTMENT OF STATE

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 19.200 Claims Against Foreign Governments (J) | X | | | | | |
| 19.201 Protection of Ships From Foreign Seizure (G) | X | | | | | |
| 19.202 Special Domestic Assignments (J) | | X | X | X | X | |

## DEPARTMENT OF TRANSPORTATION

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 20.001 Boating Safety (J,L,M) | X | | | | | |
| 20.002 Coast Guard Cooperative Marine Sciences Program (I) | | X | X | X | | |
| 20.100 Aviation Education (K,L) | X | X | X | X | X | X |
| 20.102 Airport Development Aid Program (B,K) | | X | X | X | | X |
| 20.103 Airport Planning Grant Program (B) | | X | X | X | | |
| 20.105 Loan Guarantees for Purchase of Aircraft and Spare Parts (F) | X | | | | | |
| 20.205 Highway Planning and Construction (A,B) | | | | X | X | |
| 20.214 Highway Beautification—Control of Outdoor Advertising, and Control of Junkyards (B) | | | | X | | |
| 20.215 Highway Training and Education (M) | | X | | X | | |
| 20.216 Highway Educational Grants (B,M) | X | | | | | |
| 20.217 Motor Carrier Safety (M,N) | X | X | X | X | X | X |
| 20.301 Railroad Safety (N) | X | X | X | X | X | X |
| 20.303 Grants-in-Aid for Railroad Safety—State Participation (B) | | | | X | | |
| 20.307 Transportation Test Center (I) | X | X | X | X | X | X |
| 20.308 Local Rail Service Assistance (A) | | | | X | | |
| 20.309 Railroad Rehabilitation and Improvement—Guarantee of Obligations (F) | X | X | | X | | |
| 20.310 Railroad Rehabilitation and Improvement—Redeemable Preference Shares (E) | X | | | | | |
| 20.500 Urban Mass Transportation Capital Improvement Grants (B) | X | | | X | | |
| 20.502 Urban Mass Transportation Grants for University Research and Training (B) | | | X | X | | |
| 20.503 Urban Mass Transportation Managerial Training Grants (B) | | X | | X | | |
| 20.504 Mass Transportation Technology (B) | | X | X | X | | |
| 20.505 Urban Mass Transportation Technical Studies Grants (B) | | X | X | X | | |
| 20.506 Urban Mass Transportation Demonstration Grants (B) | | | X | | | |
| 20.507 Urban Mass Transportation Capital and Operating Assistance Formula Grants (A) | | X | | | | |
| 20.509 Public Transportation for Nonurbanized Areas (A) | X | X | X | X | | X |
| 20.510 Urban Mass Transportation Planning Methods Research and Development (B,L,M) | X | X | X | X | X | X |
| 20.600 State and Community Highway Safety (A) | | | | X | X | X |
| 20.700 Gas Pipeline Safety (A) | | | | X | | |
| 20.800 Construction—Differential Subsidies (C) | X | | | | | |
| 20.801 Development and Promotion of Ports and Intermodal Transportation (K,L) | | X | X | X | | |
| 20.802 Federal Ship Financing Guarantees (F) | X | | | | | |
| 20.803 Maritime War Risk Insurance (G) | X | | | | | |
| 20.804 Operating—Differential Subsidies (C) | X | | | | | |
| 20.805 Ship Sales (H) | X | X | X | X | X | X |
| 20.806 State Marine Schools (C,I) | | | | X | | |
| 20.807 U.S. Merchant Marine Academy (M) | X | | | | | |
| 20.808 Capital Construction Fund (C) | X | X | X | X | X | X |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 20.809 Development and Promotion of Domestic Waterborne Transport Systems (K,L) | X | X | X | X | | |
| 20.810 Supplementary Training (M) | X | X | X | X | | |
| 20.811 Research and Development Assistance (B) | X | X | X | X | X | |
| 20.812 Construction Reserve Fund (C) | X | X | X | X | X | X |
| **DEPARTMENT OF THE TREASURY** | | | | | | |
| 21.003 Taxpayer Service (K,M) | X | X | X | X | X | X |
| 21.004 Federal Tax Information for State Tax Officials (J) | | | | X | | |
| 21.005 Individual Tax Model (J) | | | | X | | |
| 21.006 Tax Counseling for the Elderly (C) | | | X | | | |
| 21.051 Alcohol, Tobacco, and Firearms—Laboratory Analysis (J) | | X | | X | | |
| 21.052 Alcohol, Tobacco, and Firearms—Training Assistance (M) | | X | | X | | |
| 21.100 Secret Service—Training Activities (M) | | X | | X | | |
| 21.300 State and Local Government Fiscal Assistance—General Revenue Sharing (A) | | X | | | | X |
| **APPALACHIAN REGIONAL COMMISSION** | | | | | | |
| 23.001 Appalachian Regional Development (See individual Appalachian Programs) (B) | | X | X | X | | |
| 23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) | | X | X | X | | |
| 23.003 Appalachian Development Highway System (B) | | X | | X | | |
| 23.004 Appalachian Health Programs (B) | | X | X | X | | |
| 23.005 Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B) | | X | X | X | | |
| 23.008 Appalachian Local Access Roads (B) | | X | X | X | | |
| 23.009 Appalachian Local Development District Assistance (B) | | X | | | | |
| 23.010 Appalachian Mine Area Restoration (B) | | X | X | X | | |
| 23.011 Appalachian State Research, Technical Assistance, and Demonstration Projects (B) | | X | X | X | | |
| 23.012 Appalachian Vocational and Other Education Facilities and Operations (B) | | X | X | X | | |
| 23.013 Appalachian Child Development (B) | | X | X | X | | |
| 23.017 Appalachian Special Transportation Related Planning, Research and Demonstration Program (B) | | X | X | X | | |
| **CIVIL AERONAUTICS BOARD** | | | | | | |
| 26.002 Air Transportation—Consumer Affairs (N) | X | X | X | X | X | X |
| 26.003 Payments for Essential Air Services (C) | X | | | | | |
| **OFFICE OF PERSONNEL MANAGEMENT** | | | | | | |
| 27.001 Federal Civil Service Employment (O) | X | | | | | |
| 27.002 Federal Employment Assistance for Veterans (O) | X | | | | | |
| 27.003 Federal Employment for Disadvantaged Youth—Part-Time (O) | X | | | | | |
| 27.004 Federal Employment for Disadvantaged Youth—Summer (O) | X | | | | | |
| 27.005 Federal Employment for the Handicapped (O) | X | | | | | |
| 27.006 Federal Summer Employment (O) | X | | | | | |
| 27.008 Intergovernmental Cooperation in Recruiting and Examining (J) | | X | | X | | X |
| 27.009 Training Assistance to State and Local Governments (K,L,M) | | X | | X | | X |
| 27.011 Intergovernmental Mobility of Federal, State, and Local Employees (J,K) | | X | X | X | | X |
| 27.013 Presidential Management Intern Program (J,O) | | X | X | X | | |
| **COMMISSION ON CIVIL RIGHTS** | | | | | | |
| 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints (L) | X | X | X | X | X | X |
| **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION** | | | | | | |
| 30.001 Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (N) | X | | | | | |
| 30.002 Employment Discrimination—State and Local Anti-Discrimination Agency Contracts (C) | | X | | X | | |
| 30.005 Employment Discrimination—Private Bar Program (J) | X | | | | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 30.008 Employment Discrimination—Age Discrimination in Employment (K,N) | X | | | | | |
| 30.009 Employment Discrimination Project Contracts—Indian Tribes (B) | | | | | | X |
| 30.010 Employment Discrimination—Equal Pay Act (K,N) | X | | | | | |
| **FEDERAL COMMUNICATIONS COMMISSION** | | | | | | |
| 32.001 Communications Information and Investigation of Complaints (L,N) | X | X | X | X | X | X |
| **FEDERAL MARITIME COMMISSION** | | | | | | |
| 33.001 Shipping—Investigation of Complaints (N) | X | X | X | X | X | X |
| **FEDERAL MEDIATION AND CONCILIATION SERVICE** | | | | | | |
| 34.001 Labor Mediation and Conciliation (J,K) | X | | | | | |
| 34.002 Labor—Management Cooperation (B) | | X | X | X | | |
| **FEDERAL TRADE COMMISSION** | | | | | | |
| 36.001 Fair Competition Counseling and Investigation of Complaints (K,N) | X | X | X | X | X | X |
| **FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES** | | | | | | |
| 37.010 Vietnam Claims Program (J) | X | | X | | X | |
| 37.011 Second Czechoslovakian Claims Program (J) | X | | | | | |
| **GENERAL SERVICES ADMINISTRATION** | | | | | | |
| 39.001 Business Services (K) | X | | | | | |
| 39.002 Disposal of Federal Surplus Real Property (H) | X | X | X | X | | |
| 39.003 Donation of Federal Surplus Personal Property (H) | | | | X | | |
| 39.004 National Archives Reference Services (I,K,L) | X | X | X | X | X | X |
| 39.005 National Audiovisual Center (K,L) | X | X | X | X | X | X |
| 39.006 National Historical Publications and Records Grants (B) | | X | X | X | | |
| 39.007 Sale of Federal Surplus Personal Property (H) | X | X | X | X | X | X |
| 39.008 Federal Information Center (L) | X | X | X | X | X | X |
| 39.009 Consumer Information Center (L) | X | X | X | X | X | X |
| **GOVERNMENT PRINTING OFFICE** | | | | | | |
| 40.001 Depository Libraries for Government Publications (L) | | | X | X | | |
| 40.002 Government Publications—Sales and Distribution (H,L) | X | X | X | X | X | X |
| **INTERSTATE COMMERCE COMMISSION** | | | | | | |
| 41.001 Interstate Commerce—Cooperative Enforcement Agreements With States (L) | | | X | X | | |
| 41.002 Interstate Commerce—Investigation of Complaints (N) | X | X | X | X | X | X |
| **LIBRARY OF CONGRESS** | | | | | | |
| 42.001 Books for the Blind and Physically Handicapped (I) | X | | | | | |
| 42.002 Copyright Service (L) | X | X | X | X | X | X |
| 42.003 Distribution of Library of Congress Cataloging (L) | X | X | X | X | X | X |
| 42.005 Library of Congress Publications (L) | X | X | X | X | X | X |
| 42.006 Library of Congress Research Services (K,L) | X | X | X | X | X | X |
| 42.007 Reference Services in Science and Technology (L) | X | X | X | X | X | X |
| **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION** | | | | | | |
| 43.001 Aerospace Education Services Project (L) | | X | X | X | | |
| 43.002 Technology Transfer (L) | X | | X | | | |
| **NATIONAL CREDIT UNION ADMINISTRATION** | | | | | | |
| 44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K) | X | X | | | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| **NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES** | | | | | | |
| 45.001 Promotion of the Arts—Design Arts (B,C) | X | X | X | X | | |
| 45.002 Promotion of the Arts—Dance (B,C) | X | X | X | X | | |
| 45.003 Promotion of the Arts—Artists-in-Education (B) | | X | X | X | | |
| 45.004 Promotion of the Arts—Literature (B) | X | X | X | X | | |
| 45.005 Promotion of the Arts—Music (B,C) | X | X | X | X | | |
| 45.006 Promotion of the Arts—Media Arts: Film/Radio/Television (B) | X | X | X | X | | |
| 45.007 Promotion of the Arts—State Programs/Partnership Coordination (A,B,K) | | | X | X | X | |
| 45.008 Promotion of the Arts—Theatre (B) | | X | X | X | | |
| 45.009 Promotion of the Arts—Visual Arts (B) | X | X | X | X | | |
| 45.010 Promotion of the Arts—Expansion Arts (B) | | X | X | X | | |
| 45.011 Promotion of the Arts—Inter-Arts (B) | | X | X | X | | |
| 45.012 Promotion of the Arts—Museums (B) | X | X | X | X | | |
| 45.013 Promotion of the Arts—Challenge Grants (B) | | X | X | X | | |
| 45.014 Promotion of the Arts—Opera and Musical Theatre (B) | | X | X | X | | |
| 45.015 Promotion of the Arts—Folk Arts (B) | | X | X | X | | |
| 45.020 Promotion of the Arts—National Endowment Fellowship Program (B) | X | | | | | |
| 45.104 Promotion of the Humanities—Media Humanities Projects (B) | X | X | X | X | | |
| 45.109 Promotion of the Humanities—Fellowships for Journalists (B) | X | | | | | |
| 45.111 Promotion of the Humanities—Higher Education/Regional and National Grants (B) | X | X | X | X | | |
| 45.113 Promotion of the Humanities—Program Development (B) | X | X | X | X | | |
| 45.115 Promotion of the Humanities—Youthgrants (B) | X | X | X | X | | |
| 45.116 Promotion of the Humanities—Summer Seminars for College Teachers (B) | X | | | | | |
| 45.121 Promotion of the Humanities—Summer Stipends (B) | X | | | | | |
| 45.122 Promotion of the Humanities—Fellowships at Centers for Advanced Study (B) | | | X | | | |
| 45.123 Promotion of the Humanities—Consultant Grant Program (B) | | X | X | X | | |
| 45.124 Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) | X | X | X | | | |
| 45.125 Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations (B) | | X | X | X | | |
| 45.127 Promotion of the Humanities—Elementary and Secondary Education Program (B) | | X | X | X | | |
| 45.128 Promotion of the Humanities—Planning and Assessment Studies Program (B) | X | X | X | X | | |
| 45.129 Promotion of the Humanities—State Programs (B) | | | X | X | | |
| 45.130 Promotion of the Humanities—Challenge Grants Program (C) | | X | X | X | | |
| 45.132 Promotion of the Humanities—Research Materials: Publications (B) | X | | X | | | |
| 45.133 Promotion of the Humanities—Science, Technology and Human Values (B) | X | X | X | X | | |
| 45.134 Promotion of the Humanities—Research Conferences (B) | X | X | X | X | | |
| 45.135 Promotion of the Humanities—Youth Projects (B) | X | X | X | X | | |
| 45.137 Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B) | | X | X | X | | |
| 45.138 Promotion of the Humanities—Education Pilot Grants (B) | | X | X | X | | |
| 45.139 Promotion of the Humanities—Education Implementation Grants (B) | | X | X | X | | |
| 45.140 Promotion of the Humanities—Basic Research (B) | X | X | X | X | | |
| 45.141 Promotion of the Humanities—State, Local, and Regional Studies (B) | X | X | X | X | | |
| 45.142 Promotion of the Humanities—Fellowships for Independent Study and Research (B) | X | | | | | |
| 45.143 Promotion of the Humanities—Fellowships for College Teachers (B) | X | | | | | |
| 45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B) | X | X | X | X | | |
| 45.146 Promotion of the Humanities—Research Materials/Editions (B) | X | X | X | X | | |
| 45.147 Promotion of the Humanities—Research Materials/Translations (B) | X | X | X | X | | |
| 45.148 Promotion of the Humanities—Intercultural Research Program (B) | | X | X | X | | |
| 45.149 Promotion of the Humanities—Research Resources-Conservation and Preservation Grants (B) | X | | X | X | | |
| 45.201 Arts and Artifacts Indemnity (G) | X | X | X | X | | |
| 45.301 Institute of Museum Services (D) | | X | X | X | X | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| **NATIONAL LABOR RELATIONS BOARD** | | | | | | |
| 46.001 Labor-Management Relations (J,N) | X | | X | | | |
| **NATIONAL SCIENCE FOUNDATION** | | | | | | |
| 47.009 Scientific Personnel Improvement (B) | X | | | | | |
| 47.036 Intergovernmental and Public Service Science and Technology Program (B) | X | X | X | X | | |
| 47.041 Engineering Grants (B) | X | X | X | X | | |
| 47.049 Mathematical and Physical Sciences (B) | X | | X | X | | |
| 47.050 Astronomical, Atmospheric, Earth and Ocean Sciences (B) | X | | X | X | | |
| 47.051 Biological, Behavioral, and Social Sciences (B) | X | | X | X | | |
| 47.053 Scientific, Technological, and International Affairs (B) | X | | X | X | | |
| 47.055 Two-Year and Four-Year College Research Instrumentation (B) | | | X | X | | |
| 47.057 Minority Research Initiation (B) | X | | X | X | | |
| 47.059 Visiting Professorships for Women in Science and Engineering (B) | X | | | | | |
| 47.060 Research Improvement in Minority Institutions (B) | X | | X | | | |
| **PRESIDENT'S COMMITTEE ON EMPLOYMENT OF THE HANDICAPPED** | | | | | | |
| 53.001 Handicapped Employment Promotion (K,L) | X | | X | X | X | |
| **RAILROAD RETIREMENT BOARD** | | | | | | |
| 57.001 Social Insurance for Railroad Workers (D) | X | | | | | |
| 57.002 Benefits for Milwaukee Railroad Workers (D,J) | X | | | | | |
| **SECURITIES AND EXCHANGE COMMISSION** | | | | | | |
| 58.001 Securities—Investigation of Complaints and SEC Information (L,N) | X | X | X | X | X | X |
| **SMALL BUSINESS ADMINISTRATION** | | | | | | |
| 59.002 Economic Injury Disaster Loans (E,F) | X | | | | | |
| 59.003 Economic Opportunity Loans for Small Businesses (E,F,K) | X | | | | | |
| 59.005 Management Assistance to Small Businesses (K,L,M) | X | | | | | |
| 59.006 Minority Business Development—Procurement Assistance (J) | X | | | | | |
| 59.007 Management and Technical Assistance for Disadvantaged Businessmen (B) | X | | X | | | |
| 59.008 Physical Disaster Loans (E,F) | X | | X | | | |
| 59.009 Procurement and Technical Assistance to Small Businesses (J) | X | | | | | |
| 59.011 Small Business Investment Companies (E,F,K) | X | | | | | |
| 59.012 Small Business Loans (E,F) | X | | | | | |
| 59.013 State and Local Development Company Loans (E,F) | | X | | X | | |
| 59.016 Bond Guarantees for Surety Companies (F) | X | | | | | |
| 59.021 Handicapped Assistance Loans (E,F) | X | | X | | | |
| 59.026 Service Corps of Retired Executives and Active Corps of Executives (K) | X | | | | | |
| 59.030 Small Business Energy Loans (E,F) | X | | | | | |
| 59.031 Small Business Pollution Control Financing Guarantee (F) | X | | | | | |
| 59.032 Office of Women's Business Enterprise (B) | X | X | X | X | X | X |
| 59.033 Minority Small Business and Capital Ownership Development (J) | X | | | | | |
| 59.034 Small Business Economic Research (B) | X | | | | | |
| 59.035 Procurement Automated Source System (J) | X | | | | | |
| 59.036 Certified Development Company Loans (F) | X | | X | | | |
| 59.037 Small Business Development Center (B,L) | | X | X | X | | |
| **SMITHSONIAN INSTITUTION** | | | | | | |
| 60.001 Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) | X | | | | | |
| 60.007 Museums—Assistance and Advice (B,K,L,M) | | X | X | X | | |
| 60.013 Smithsonian Institution Traveling Exhibition Service (I,J) | X | | | | | |
| 60.016 Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (B,C) | | | X | X | | |
| 60.020 Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs (B,I) | X | | | | | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| **INTERNATIONAL TRADE COMMISSION** | | | | | | |
| 61.001 Import Relief (Industry) (J) | X | | X | | | |
| **TENNESSEE VALLEY AUTHORITY** | | | | | | |
| 62.001 National Fertilizer Development (H,I,K,L) | X | | X | X | | |
| 62.004 Tennessee Valley Region—Economic and Community Development (K,L) | X | X | X | X | | |
| 62.005 Tennessee Valley Region—Natural Resources Development (K,L) | X | X | X | X | | |
| 62.006 Tennessee Valley Region—Valley Agricultural Resources Development (K,L) | X | X | X | X | | |
| **VETERANS ADMINISTRATION** | | | | | | |
| 64.001 Biomedical Research (I) | X | | | | | |
| 64.005 Grants to States for Construction of State Home Facilities (B) | | | | X | | |
| 64.007 Blind Veterans Rehabilitation Centers (J) | X | | | | | |
| 64.008 Veterans Domiciliary Care (J) | X | | | | | |
| 64.009 Veterans Hospitalization (J) | X | | | | | |
| 64.010 Veterans Nursing Home Care (J) | X | | | | | |
| 64.011 Veterans Outpatient Care (J) | X | | | | | |
| 64.012 Veterans Prescription Service (H) | X | | | | | |
| 64.013 Veterans Prosthetic Appliances (H) | X | | | | | |
| 64.014 Veterans State Domiciliary Care (A) | | | | X | | |
| 64.015 Veterans State Nursing Home Care (A) | | | | X | | |
| 64.016 Veterans State Hospital Care (A) | | | | X | | |
| 64.018 Sharing Specialized Medical Resources (J) | | X | X | X | | |
| 64.019 Veterans Rehabilitation—Alcohol and Drug Dependence (J) | X | | | | | |
| 64.022 Veterans Hospital Based Home Care (J) | X | | | | | |
| 64.023 Health Professional Scholarships (B) | X | | | | | |
| 64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C) | X | | | | | |
| 64.101 Burial Expenses Allowance for Veterans (C) | X | | | | | |
| 64.102 Compensation for Service-Connected Deaths for Veterans' Dependents (D) | X | | | | | |
| 64.103 Life Insurance for Veterans (E,G) | X | | | | | |
| 64.104 Pension for Non-Service-Connected Disability for Veterans (D) | X | | | | | |
| 64.105 Pension to Veterans Surviving Spouses, and Children (D) | X | | | | | |
| 64.106 Specially Adapted Housing for Disabled Veterans (C) | X | | | | | |
| 64.109 Veterans Compensation for Service-Connected Disability (D) | X | | | | | |
| 64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D) | X | | | | | |
| 64.111 Veterans Education[illegible]stance (C) | X | | | | | |
| 64.114 Veterans Housi[illegible]—G[illegible]anteed and Insured Loans (F) | X | | | | | |
| 64.115 Veterans Information and Assistance (K) | X | | | | | |
| 64.116 Vocational Rehabilitation for Disabled Veterans (D,E) | X | | | | | |
| 64.117 Dependents Educational Assistance (C) | X | | | | | |
| 64.118 Veterans Housing—Direct Loans for Disabled Veterans (E) | X | | | | | |
| 64.119 Veterans Housing—Mobile Home Loans (F) | X | | | | | |
| 64.120 Post-Vietnam Era Veterans' Educational Assistance (C) | X | | | | | |
| 64.200 Memorial Plots and Memorial Markers (J) | X | | | | | |
| 64.201 National Cemeteries (J) | X | | | | | |
| 64.202 Procurement of Headstones and Markers (J) | X | | | | | |
| 64.203 State Cemetery Grants (B) | | | | X | | |
| **WATER RESOURCES COUNCIL** | | | | | | |
| 65.001 Water Resources Planning (A) | | | | X | X | |
| **ENVIRONMENTAL PROTECTION AGENCY** | | | | | | |
| 66.001 Air Pollution Control Program Grants (B) | | X | | X | X | |
| 66.003 Air Pollution Control Manpower Training Grants (B) | X | | X | X | | |
| 66.006 Air Pollution Control—Technical Training (M) | X | | | | | |
| 66.007 Air Pollution Control—National Ambient Air and Source Emission Data (J) | X | X | X | X | X | |
| 66.008 Air Pollution Control—Technical Assistance (J,K,L) | | X | | X | X | |
| 66.009 Air Pollution Control—Technical Information Services (L) | X | X | X | X | X | X |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 66.418 Construction Grants for Wastewater Treatment Works (B) |  | X |  | X | X |  |
| 66.419 Water Pollution Control—State and Interstate Program Grants (A) |  | X |  | X | X |  |
| 66.423 Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications (M) |  | X |  | X | X |  |
| 66.425 Drinking Water Supply—Technical Assistance (K,L) |  | X | X | X | X |  |
| 66.426 Water Pollution Control—State and Areawide Water Quality Management Planning (B) |  | X | X | X | X |  |
| 66.432 State Public Water System Supervision Program Grants (B) |  |  |  | X | X |  |
| 66.433 State Underground Water Source Protection—Program Grants (B) |  |  |  | X | X |  |
| 66.438 Construction Management Assistance Grants (A) |  |  | X | X | X |  |
| 66.451 Hazardous Waste Management Financial Assistance to States (A) |  |  |  | X |  |  |
| 66.500 Environmental Protection—Consolidated Research Grants (B) | X | X | X | X | X |  |
| 66.501 Air Pollution Control Research Grants (B) | X | X | X | X | X |  |
| 66.502 Pesticides Control Research Grants (B) | X | X | X | X | X |  |
| 66.504 Solid Waste Disposal Research Grants (B) | X | X | X | X | X |  |
| 66.505 Water Pollution Control—Research, Development, and Demonstration Grants (B) | X | X | X | X | X |  |
| 66.506 Safe Drinking Water Research and Demonstration Grants (B) | X | X | X | X | X |  |
| 66.507 Toxic Substances Research Grants (B) | X | X | X | X | X |  |
| 66.600 Environmental Protection Consolidated Grants—Program Support (A) |  | X |  | X |  |  |
| 66.603 Loan Guarantees for Construction of Treatment Works (F) |  | X |  | X | X |  |
| 66.700 Pesticides Enforcement Program Grants (B) |  |  |  | X | X | X |
| **NATIONAL GALLERY OF ART** |  |  |  |  |  |  |
| 68.001 National Gallery of Art Extension Service (I) | X |  | X | X |  |  |
| **OVERSEAS PRIVATE INVESTMENT CORPORATION** |  |  |  |  |  |  |
| 70.002 Foreign Investment Guaranties (F) | X |  |  |  |  |  |
| 70.003 Foreign Investment Insurance (G) | X |  |  |  |  |  |
| 70.004 Pre-Investment Assistance (C) | X |  |  |  |  |  |
| 70.005 Direct Investment Loans (E) | X |  | X |  |  |  |
| **ACTION** |  |  |  |  |  |  |
| 72.001 The Foster Grandparent Program (B) |  | X | X | X |  |  |
| 72.002 Retired Senior Volunteer Program (B) |  | X | X | X |  |  |
| 72.003 Volunteers in Service to America (J) |  | X | X | X |  |  |
| 72.005 National Center for Service-Learning (B,J,K,L,M) |  | X | X | X |  |  |
| 72.008 The Senior Companion Program (B) |  | X | X | X |  |  |
| 72.010 Mini-Grant Program (B) |  | X | X | X |  |  |
| 72.011 State Office of Voluntary Citizen Participation (B) |  |  |  | X | X |  |
| 72.012 Volunteer Demonstration Program (B) |  | X | X | X |  |  |
| 72.013 Technical Assistance Program (B) |  | X | X | X |  |  |
| **NUCLEAR REGULATORY COMMISSION** |  |  |  |  |  |  |
| 77.001 Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |  | X |  | X |  |  |
| 77.003 Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B) | X | X | X | X |  |  |
| **COMMODITY FUTURES TRADING COMMISSION** |  |  |  |  |  |  |
| 78.002 Commodity Futures Market Reports (L) | X | X | X | X | X | X |
| 78.004 Commodity Futures Reparations Claims (N) | X | X | X | X | X | X |
| **DEPARTMENT OF ENERGY** |  |  |  |  |  |  |
| 81.002 Motion Picture Film Libraries (L) | X | X | X | X |  |  |
| 81.003 Granting of Patent Licenses (L) | X | X | X | X | X | X |
| 81.004 University-Laboratory Cooperative Program (B,I) | X |  | X |  |  |  |
| 81.007 Teacher Development Projects in Energy (B,M) |  |  | X | X |  |  |
| 81.011 University Reactor Sharing and Fuel Assistance (B,H) |  |  | X |  |  |  |
| 81.022 Used Energy-Related Laboratory Equipment Grants (H) |  |  | X | X |  |  |
| 81.023 Information Services—Exhibits, Public Speakers, and Publications (L) | X | X | X | X | X | X |
| 81.028 Radiological Emergency Assistance (J,K,L) | X | X | X | X |  |  |
| 81.029 Uranium Industry Seminars (L) | X | X | X | X | X | X |
| 81.036 Energy-Related Inventions (B,I,K,L) | X |  |  |  |  |  |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 81.039 National Energy Information Center (L) | X | X | X | X | X | X |
| 81.041 State Energy Conservation (A) | | | | X | | |
| 81.042 Weatherization Assistance for Low-Income Persons (B) | | X | | X | | |
| 81.043 Supplemental State Energy Conservation (A) | | | | X | X | |
| 81.048 Priorities and Allocations for Energy Programs and Projects (J,M) | X | | | | | |
| 81.049 Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) | X | | X | X | | |
| 81.050 Energy Extension Service (A) | | | | X | X | |
| 81.051 Appropriate Energy Technology (B) | X | X | X | | | X |
| 81.052 Energy Conservation for Institutional Buildings (A) | | X | X | | | |
| 81.056 Coal Loan Guarantees (F) | X | | | | | |
| 81.057 University Coal Research (B) | | | X | X | | |
| 81.058 Geothermal Loan Guarantees (F) | X | X | X | X | | X |
| 81.060 Electric and Hybrid Vehicle Loan Guaranties (F) | X | | | | | |
| 81.062 National Clubs, Organizations and Associations Energy Awareness Projects (K,L) | X | | | | | |
| 81.063 Office of Minority Economic Impact Loans (E) | X | | | | | |
| 81.064 DOE Technical Information Center (L) | X | X | X | X | X | X |
| 81.065 Research and Development Nuclear Energy Programs (B,C) | X | X | X | X | X | |
| 81.074 Alcohol Fuels Loan Guarantees (F) | X | X | X | X | X | X |
| 81.075 Energy Graduate Traineeship Program (B) | | | X | | | |

## INTERNATIONAL COMMUNICATION AGENCY

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 82.001 Educational Exchange—Graduate Students (B) | X | | | | | |
| 82.002 Educational Exchange—University Lecturers (Professors) and Research Scholars (B) | X | | | | | |

## FEDERAL EMERGENCY MANAGEMENT AGENCY

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 83.002 State Fire Incident Reporting Assistance (B) | | | | X | X | |
| 83.003 Public Education Assistance Program (B) | | | | X | X | |
| 83.004 Technical Support Services (J) | | | | X | X | |
| 83.005 Arson Task Force Assistance Program (J,K,L) | | | | X | X | |
| 83.007 Reimbursement for Firefighting on Federal Property (C) | | | | X | X | |
| 83.100 Flood Insurance (G) | | X | | X | | |
| 83.101 Urban Property Insurance (G) | X | | | X | X | |
| 83.102 Crime Insurance (G) | X | | | | | |
| 83.400 Emergency Management Institute—Student Expense Program (B,M) | X | X | | X | X | |
| 83.401 Emergency Management—Architect/Engineer Student Development (M) | X | | | | X | |
| 83.402 Radiological Emergency Response—Training Assistance (K,M) | | X | | X | | |
| 83.403 Training and Education Field Deployment (A,B,M) | X | | | | | |
| 83.404 Academy Planning Assistance (B) | | | | X | X | |
| 83.405 Student Stipend Program (C) | | | X | | | |
| 83.500 General Research, Development, and Demonstration Activity (B) | X | X | X | X | X | X |
| 83.501 State Assistance Program (B) | | | | X | X | |
| 83.502 Acquisition of Flood-Damaged Structures (H) | X | X | X | X | X | X |
| 83.503 Emergency Management Assistance (A) | | X | | X | X | |
| 83.504 State and Local Maintenance and Services (B) | | X | | X | X | |
| 83.505 State Disaster Preparedness Grants (B) | | | | X | X | |
| 83.506 Earthquake and Hurricane Loss Study and Contingency Planning Grants (B) | | X | | X | | |
| 83.507 Industrial Preparedness Planning (L,M) | X | X | X | X | | |
| 83.508 Radiological Systems Maintenance (B,J) | | X | | X | | |
| 83.509 National Shelter Survey (J) | | X | | X | X | |
| 83.510 Radiation Shielding Design (K) | X | | | | X | |
| 83.511 State Radiological Defense Officers (B,J) | X | | | X | | |
| 83.512 State and Local Emergency Operating Centers (B) | | | | X | X | |
| 83.513 State and Local Supporting Materials (B) | | | | X | X | |
| 83.514 Nuclear Civil Protection Planning (B) | | | | X | X | |
| 83.515 Broadcast Station Protection Program (B) | X | X | X | X | X | X |
| 83.516 Disaster Assistance (B,I,J) | X | X | X | X | | |

## DEPARTMENT OF EDUCATION

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 84.002 Adult Education—State-Administered Program (A) | | | | X | X | |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 84.003 Bilingual Education (B,C) | X | X | X | X | X | X |
| 84.004 Civil Rights Technical Assistance and Training (B) | | X | X | X | | |
| 84.005 College Library Resources (B) | | X | X | X | | |
| 84.007 Supplemental Educational Opportunity Grants (C) | | | X | X | | |
| 84.009 Program for Education of Handicapped Children in State Operated or Supported Schools (A) | | X | | X | | |
| 84.010 Educationally Deprived Children—Local Educational Agencies (A) | | | | X | | |
| 84.011 Migrant Education—Basic State Formula Grant Program (A) | | | | X | | |
| 84.012 Educationally Deprived Children—State Administration (A) | | | | X | X | |
| 84.013 Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (A) | | | | X | X | |
| 84.014 Follow Through (B) | | X | X | X | | |
| 84.015 National Resource Centers and Fellowships in International Studies (B) | | | X | X | | |
| 84.016 Undergraduate International Studies and Foreign Language Programs (B) | | | X | X | | |
| 84.017 International Research and Studies (B) | X | X | X | X | | |
| 84.018 Teacher Exchange (B) | X | | | | | |
| 84.019 Fulbright-Hays Training Grants—Faculty Research Abroad (B) | X | | | | | |
| 84.020 Fulbright-Hays Training Grants—Foreign Curriculum Consultants (B,J) | | X | X | X | | |
| 84.021 Fulbright-Hays Training Grants—Group Projects Abroad (B) | | X | X | X | | |
| 84.022 Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B) | X | | | | | |
| 84.023 Handicapped—Research and Demonstration (B) | | X | X | X | | |
| 84.024 Handicapped Early Childhood Assistance (B) | | X | X | X | | |
| 84.025 Handicapped Innovative Programs—Deaf-Blind Centers (B) | | X | X | X | | |
| 84.026 Handicapped Media Services and Captioned Films (B,C) | | X | X | X | | |
| 84.027 Handicapped Preschool and School Programs (A) | | X | X | X | X | |
| 84.028 Handicapped Regional Resource Centers (B) | | X | X | X | | |
| 84.029 Handicapped Personnel Preparation (B) | | X | X | X | | |
| 84.030 Handicapped Teacher Recruitment and Information (B) | | X | X | X | | |
| 84.031 Higher Education—Strengthening Developing Institutions (B) | | | X | X | | |
| 84.032 Higher Education Act Insured Loans (F) | X | X | X | X | X | X |
| 84.033 College Work—Study Program (C) | | X | X | X | | |
| 84.034 Public Library Services (A) | | | | X | | |
| 84.035 Interlibrary Cooperation (A) | | | | X | | |
| 84.036 Library Career Training (B) | | X | X | X | | |
| 84.037 National Defense/Direct Student Loan Cancellations (C,D) | | | X | X | | |
| 84.038 National Defense/Direct Student Loans (C) | | | X | X | | |
| 84.039 Library Research and Demonstration (B) | X | X | X | X | | |
| 84.040 School Assistance in Federally Affected Areas—Construction (B) | | X | X | | | |
| 84.041 School Assistance in Federally Affected Areas—Maintenance and Operation (A) | | X | X | | | |
| 84.042 Special Services for Disadvantaged Students (B) | | X | X | X | | |
| 84.044 Talent Search (B) | | X | X | X | | |
| 84.046 Continuing Education Outreach—State Administered Program (A) | | X | | X | | |
| 84.047 Upward Bound (B) | | X | X | X | | |
| 84.048 Vocational Education—Basic Grants to States (A) | | | | X | | |
| 84.049 Vocational Education—Consumer and Homemaking Education (A) | | | | X | | |
| 84.050 Vocational Education—Program Improvement and Supportive Service (A) | | | | X | | |
| 84.051 Vocational Education—Program Improvement Projects (B) | X | X | X | X | | |
| 84.052 Vocational Education—Special Programs for the Disadvantaged (A) | | | | X | | |
| 84.053 Vocational Education—State Advisory Councils (A) | | | | X | | |
| 84.055 Higher Education—Cooperative Education (B) | | X | X | X | | |
| 84.060 Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B) | | X | X | | | X |
| 84.061 Indian Education—Special Programs and Projects (B) | | X | X | X | | X |
| 84.062 Indian Education—Adult Indian Education (B) | | X | | X | | X |
| 84.063 Pell Grant Program (C) | X | | | | | |
| 84.064 Higher Education—Veterans' Cost of Instruction Program (C) | | X | X | X | | |
| 84.065 Educational Television and Radio Programming (B) | | X | X | X | | |
| 84.066 Educational Opportunity Centers (B) | | X | X | X | | |
| 84.067 Use of Technology in Basic Skills Instruction (B) | X | X | X | X | | |
| 84.069 Grants to States for State Student Incentives (A) | | X | | X | | |
| 84.072 Indian Education—Grants to Indian Controlled Schools (B) | | X | | | | X |

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 84.073 National Diffusion Network (B,K,L) | X | X | X | X | | |
| 84.077 Bilingual Vocational Training (B,C) | X | X | X | X | | |
| 84.078 Regional Education Programs for Deaf and Other Handicapped Persons (B) | | X | X | X | | |
| 84.083 Women's Educational Equity (B) | X | X | X | X | X | |
| 84.086 Innovative Programs for Severely Handicapped Children (B) | | X | X | X | | |
| 84.087 Indian Education—Fellowships for Indian Students (B) | X | | | | | |
| 84.091 Strengthening Research Library Resources (B) | | X | X | X | | |
| 84.094 Graduate and Professional Study (B) | | | X | X | | |
| 84.097 Law School Clinical Experience Program (B) | | | X | X | | |
| 84.099 Bilingual Vocational Instructor Training (B,C) | X | X | X | X | | |
| 84.100 Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C) | X | | X | X | | |
| 84.101 Vocational Education—Program for Indian Tribes and Indian Organizations (B) | | X | | | | X |
| 84.103 Training for Special Programs Staff and Leadership Personnel (B) | | X | X | X | | |
| 84.116 Fund for the Improvement of Postsecondary Education (B) | | X | X | | | |
| 84.117 Educational Research and Development (B) | X | | X | X | | |
| 84.120 Minority Institutions Science Improvement Program (B) | | | X | | | |
| 84.121 Vocational Education—State Planning and Evaluation (A) | | | | X | | |
| 84.124 Territorial Teacher Training Assistance Program (B) | | | | X | | |
| 84.125 Clearinghouse on the Handicapped (K,L) | X | X | X | X | X | X |
| 84.126 Rehabilitation Services—Basic Support (A) | | | | X | | |
| 84.128 Rehabilitation Services—Special Projects (B) | | X | X | X | | |
| 84.129 Rehabilitation Training (B) | | X | X | X | | |
| 84.132 Centers for Independent Living (B) | | X | X | X | | |
| 84.133 National Institute of Handicapped Research (B) | | X | X | X | | |
| 84.135 Aid to Land-Grant Colleges (B) | | | | X | | |
| 84.136 Legal Training for the Disadvantaged (B) | X | X | X | X | X | X |
| 84.141 Migrant Education—High School Equivalency Program (B) | | X | X | | | |
| 84.142 Housing for Educational Institutions (E) | | | X | | | |
| 84.143 Emergency School Aid Act—Evaluation Contracts (C) | | X | | X | | |
| 84.144 Migrant Education—Interstate and Intrastate Coordination Program (B) | | | | X | | |
| 84.145 Federal Real Property Assistance Program (H) | | X | X | X | | |
| 84.146 Transition Program for Refugee Children (A,C) | | X | X | X | | |
| 84.148 Allen J. Ellender Fellowship Program (B) | | X | X | | | |
| 84.149 Migrant Education—College Assistance Migrant Program (B) | | X | | | | |
| 84.151 Education Consolidation and Improvement Programs—Chapter 2 (A) | X | | X | X | | |
| 84.152 Neglected or Delinquent Transition Services (B) | | X | | X | | |

## HARRY S. TRUMAN SCHOLARSHIP FOUNDATION

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 85.001 Harry S. Truman Scholarship Program (C) | X | | X | | | |

## PENSION BENEFIT GUARANTY CORPORATION

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 86.001 Pension Plan Termination Insurance (G) | X | | | | | |

## CONSUMER PRODUCT SAFETY COMMISSION

| Program Description | Individual | Local | Nonprofit | State | U.S. Territories | Federal Tribal Governments |
|---|---|---|---|---|---|---|
| 87.001 Voluntary Standards Assistance (K) | X | | | | | |

# DEADLINES INDEX

*This index consolidates the previous Deadlines Index which appeared in earlier editions of the Catalog. It is the initial effort to prepare a comprehensive consolidated Deadlines Index in ascending order.*

*This index lists those programs shown in the Catalog which have application deadlines that applicants must adhere to in order to ensure timely consideration of their activities. The programs listed following each date or month are those for which applications must be received by the Federal agency administering the program by the date indicated. Currently funded programs that are listed in the Catalog but are not shown in this index either do not have a deadline or the deadline(s) has not been determined.*

*The information contained herein was taken from the Deadlines section of the program descriptions. As a potential applicant, contact the agency contact persons for any changes in scheduling or incomplete information. Regarding deadline dates, the agency is always the best source.*

*The alphabet(s) in parenthesis following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A - Formula Grants; B - Project Grants; C - Direct Payments for Specified Use; D - Direct Payments with Unrestricted Use; E - Direct Loans; F - Guaranteed/Insured Loans; G - Insurance; H - Sale, Exchange, or Donation of Property and Goods; I - Use of Property, Facilities, and Equipment; J - Provision of Specialized Services; K - Advisory Services and Counseling; L - Dissemination of Technical Information; M - Training; N - Investigation of Complaints; O - Federal Employment.*

**JUNE 1982**

| | |
|---|---|
| **13.110** | Maternal and Child Health Federal Consolidated Programs (B) |

**JUNE 1, 1982**

| | |
|---|---|
| **13.244** | Mental Health Clinical or Service Related Training Grants (B) |
| **13.271** | Alcohol Research Scientist Development and Research Scientist Awards (B) |
| **45.123** | Promotion of the Humanities—Consultant Grant Program (B) |
| **45.124** | Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) |
| **45.139** | Promotion of the Humanities—Education Implementation Grants (B) |
| **45.142** | Promotion of the Humanities—Fellowships for Independent Study and Research (B) |
| **45.143** | Promotion of the Humanities—Fellowships for College Teachers (B) |
| **66.419** | Water Pollution Control—State and Interstate Program Grants (A) |
| **66.433** | State Underground Water Source Protection—Program Grants (B) |
| **66.500** | Environmental Protection—Consolidated Research Grants (B) |
| **66.501** | Air Pollution Control Research Grants (B) |
| **66.502** | Pesticides Control Research Grants (B) |
| **66.504** | Solid Waste Disposal Research Grants (B) |
| **66.505** | Water Pollution Control—Research, Development, and Demonstration Grants (B) |
| **66.506** | Safe Drinking Water Research and Demonstration Grants (B) |
| **66.507** | Toxic Substances Research Grants (B) |

**JUNE 15, 1982**

| | |
|---|---|
| **10.559** | Summer Food Service Program for Children (A) |

**JUNE 30, 1982**

| | |
|---|---|
| **15.613** | Marine Mammal Grant Program (B) |
| **81.052** | Energy Conservation for Institutional Buildings (A) |

**JULY 1982**

| | |
|---|---|
| **13.226** | Health Services Research and Development—Grants (B) |
| **21.004** | Federal Tax Information for State Tax Officials (J) |
| **84.103** | Training for Special Programs Staff and Leadership Personnel (B) |

**JULY 1, 1982**

| | |
|---|---|
| **13.103** | Food and Drug Administration—Research (B) |
| **13.242** | Mental Health Research Grants (B) |
| **13.262** | Occupational Safety and Health Research Grants (B) |
| **13.263** | Occupational Safety and Health—Training Grants (B) |
| **13.273** | Alcohol Research Programs (B) |
| **13.279** | Drug Abuse Research Programs (B) |
| **13.293** | State Health Planning and Development Agencies (B) |
| **13.298** | Nurse Practitioner Training Program and Nurse Practitioner Traineeships (B) |
| **13.299** | Advanced Nurse Training Program (B) |
| **13.306** | Laboratory Animal Sciences and Primate Research (B) |
| **13.359** | Nurse Training Improvement—Special Projects (B) |
| **13.361** | Nursing Research Project Grants (B) |
| **13.393** | Cancer Cause and Prevention Research (B) |
| **13.394** | Cancer Detection and Diagnosis Research (B) |
| **13.395** | Cancer Treatment Research (B) |
| **13.396** | Cancer Biology Research (B) |
| **13.398** | Cancer Research Manpower (B) |
| **13.399** | Cancer Control (B) |
| **13.821** | Physiology and Biomedical Engineering (B) |
| **13.837** | Heart and Vascular Diseases Research (B) |
| **13.838** | Lung Diseases Research (B) |
| **13.839** | Blood Diseases and Resources Research (B) |
| **13.840** | Caries Research (B) |
| **13.841** | Periodontal Diseases Research (B) |
| **13.842** | Craniofacial Anomalies Research (B) |
| **13.843** | Restorative Materials Research (B) |
| **13.844** | Pain Control and Behavioral Studies (B) |
| **13.845** | Dental Research Institutes (B) |
| **13.846** | Arthritis, Musculoskeletal and Skin Diseases Research (B) |
| **13.847** | Diabetes, Endocrinology and Metabolism Research (B) |
| **13.848** | Digestive Diseases and Nutrition Research (B) |
| **13.849** | Kidney Diseases, Urology and Hematology Research (B) |
| **13.849** | Kidney Diseases, Urology and Hematology Research (B) |
| **13.853** | Clinical Research (B) |
| **13.854** | Biological Basis Research (B) |
| **13.859** | Pharmacological Sciences (B) |
| **13.862** | Genetics Research (B) |
| **13.863** | Cellular and Molecular Basis of Disease Research (B) |
| **13.864** | Population Research (B) |
| **13.865** | Research for Mothers and Children (B) |
| **13.866** | Aging Research (B) |
| **13.867** | Retinal and Choroidal Diseases Research (B) |
| **13.868** | Corneal Diseases Research (B) |
| **13.869** | Cataract Research (B) |
| **13.870** | Glaucoma Research (B) |
| **13.871** | Strabismus, Amblyopia and Visual Processing (B) |
| **13.871** | Strabismus, Amblyopia and Visual Processing (B) |

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|---|---|
| **13.878** | Soft Tissue Stomatology and Nutrition Research (B) |
| **13.879** | Medical Library Assistance (B) |
| **13.891** | Alcohol Research Center Grants (B) |
| **13.892** | Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) |
| **13.893** | Mechanisms of Environmental Diseases and Disorders (B) |
| **17.600** | Mine Health and Safety Grants (B) |
| **45.111** | Promotion of the Humanities—Higher Education/Regional and National Grants (B) |
| **45.116** | Promotion of the Humanities—Summer Seminars for College Teachers (B) |
| **45.147** | Promotion of the Humanities—Research Materials/Translations (B) |
| **66.432** | State Public Water System Supervision Program Grants (B) |
| **66.600** | Environmental Protection Consolidated Grants—Program Support (A) |
| **66.700** | Pesticides Enforcement Program Grants (B) |
| **82.002** | Educational Exchange—University Lecturers (Professors) and Research Scholars (B) |
| **84.002** | Adult Education—State-Administered Program (A) |
| **84.048** | Vocational Education—Basic Grants to States (A) |
| **84.050** | Vocational Education—Program Improvement and Supportive Service (A) |
| **84.052** | Vocational Education—Special Programs for the Disadvantaged (A) |
| **84.121** | Vocational Education—State Planning and Evaluation (A) |
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| **84.151** | Education Consolidation and Improvement Programs—Chapter 2 (A) |

### JULY 15, 1982

| | |
|---|---|
| **45.113** | Promotion of the Humanities—Program Development (B) |
| **47.049** | Mathematical and Physical Sciences (B) |

### JULY 31, 1982

| | |
|---|---|
| **37.010** | Vietnam Claims Program (J) |
| **77.003** | Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B) |

### AUGUST 1, 1982

| | |
|---|---|
| **20.600** | State and Community Highway Safety (A) |
| **45.133** | Promotion of the Humanities—Science, Technology and Human Values (B) |
| **66.433** | State Underground Water Source Protection—Program Grants (B) |
| **66.451** | Hazardous Waste Management Financial Assistance to States (A) |

### AUGUST 8, 1982

| | |
|---|---|
| **30.002** | Employment Discrimination—State and Local Anti-Discrimination Agency Contracts (C) |

### AUGUST 15, 1982

| | |
|---|---|
| **10.557** | Special Supplemental Food Program for Women, Infants, and Children (A) |
| **10.561** | State Administrative Matching Grants for Food Stamp Program (A) |
| **10.565** | Commodity Supplemental Food Program (A,B,H) |
| **13.658** | Foster Care—Title IV—E (A) |
| **13.714** | Medical Assistance Program (A) |
| **13.808** | Assistance Payments—Maintenance Assistance (A) |
| **13.810** | Assistance Payments—State and Local Training (A) |

### SEPTEMBER 1982

| | |
|---|---|
| **84.016** | Undergraduate International Studies and Foreign Language Programs (B) |

### SEPTEMBER 1, 1982

| | |
|---|---|
| **13.818** | Low-Income Home Energy Assistance (A) |
| **13.994** | Maternal and Child Health Services Block Grants (A) |
| **45.130** | Promotion of the Humanities—Challenge Grants Program (C) |
| **45.133** | Promotion of the Humanities—Science, Technology and Human Values (B) |
| **60.007** | Museums—Assistance and Advice (B,K,L,M) |
| **66.419** | Water Pollution Control—State and Interstate Program Grants (A) |
| **66.432** | State Public Water System Supervision Program Grants (B) |

### SEPTEMBER 15, 1982

| | |
|---|---|
| **17.225** | Unemployment Insurance (A,D) |
| **45.134** | Promotion of the Humanities—Research Conferences (B) |

### SEPTEMBER 30, 1982

| | |
|---|---|
| **10.553** | School Breakfast Program (A) |
| **13.665** | Community Services Block Grant (A) |
| **20.700** | Gas Pipeline Safety (A) |
| **84.144** | Migrant Education—Interstate and Intrastate Coordination Program (B) |

### OCTOBER 1982

| | |
|---|---|
| **13.226** | Health Services Research and Development—Grants (B) |
| **84.007** | Supplemental Educational Opportunity Grants (C) |
| **84.019** | Fulbright-Hays Training Grants—Faculty Research Abroad (B) |
| **84.022** | Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B) |
| **84.023** | Handicapped—Research and Demonstration (B) |
| **84.033** | College Work—Study Program (C) |
| **84.038** | National Defense/Direct Student Loans (C) |
| **84.083** | Women's Educational Equity (B) |

### OCTOBER 1, 1982

| | |
|---|---|
| **13.244** | Mental Health Clinical or Service Related Training Grants (B) |
| **13.262** | Occupational Safety and Health Research Grants (B) |
| **13.263** | Occupational Safety and Health—Training Grants (B) |
| **13.271** | Alcohol Research Scientist Development and Research Scientist Awards (B) |
| **13.272** | Alcohol National Research Service Awards for Research Training (B) |
| **13.273** | Alcohol Research Programs (B) |
| **13.274** | Alcohol Clinical or Service Related Training Programs (B) |
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| **13.280** | Drug Abuse Clinical or Service Related Training Programs (B) |
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| 13.841 | Periodontal Diseases Research (B) |
| 13.842 | Craniofacial Anomalies Research (B) |
| 13.843 | Restorative Materials Research (B) |
| 13.844 | Pain Control and Behavioral Studies (B) |
| 13.845 | Dental Research Institutes (B) |
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| 13.848 | Digestive Diseases and Nutrition Research (B) |
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| 13.854 | Biological Basis Research (B) |
| 13.864 | Population Research (B) |
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| 13.866 | Aging Research (B) |
| 13.867 | Retinal and Choroidal Diseases Research (B) |
| 13.868 | Corneal Diseases Research (B) |
| 13.869 | Cataract Research (B) |
| 13.870 | Glaucoma Research (B) |
| 13.878 | Soft Tissue Stomatology and Nutrition Research (B) |
| 13.879 | Medical Library Assistance (B) |
| 13.880 | Minority Access to Research Careers (B) |
| 13.892 | Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) |
| 13.893 | Mechanisms of Environmental Diseases and Disorders (B) |
| 13.894 | Environmental Health Research and Manpower Development Resources (B) |
| 17.600 | Mine Health and Safety Grants (B) |
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| 45.201 | Arts and Artifacts Indemnity (G) |
| 60.020 | Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs (B,I) |
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## OCTOBER 8, 1982

| | |
|---|---|
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## OCTOBER 15, 1982

| | |
|---|---|
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| 15.904 | Historic Preservation Grants-In-Aid (B) |
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| 66.502 | Pesticides Control Research Grants (B) |
| 66.504 | Solid Waste Disposal Research Grants (B) |
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| 84.018 | Teacher Exchange (B) |

## OCTOBER 31, 1982

| | |
|---|---|
| 37.011 | Second Czechoslovakian Claims Program (J) |

## NOVEMBER 1982

| | |
|---|---|
| 13.226 | Health Services Research and Development—Grants (B) |
| 84.019 | Fulbright-Hays Training Grants—Faculty Research Abroad (B) |
| 84.020 | Fulbright-Hays Training Grants—Foreign Curriculum Consultants (B,J) |
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| 84.022 | Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B) |
| 84.023 | Handicapped—Research and Demonstration (B) |
| 84.083 | Women's Educational Equity (B) |

## NOVEMBER 1, 1982

| | |
|---|---|
| 13.103 | Food and Drug Administration—Research (B) |
| 13.242 | Mental Health Research Grants (B) |
| 13.262 | Occupational Safety and Health Research Grants (B) |
| 13.263 | Occupational Safety and Health—Training Grants (B) |
| 13.273 | Alcohol Research Programs (B) |
| 13.279 | Drug Abuse Research Programs (B) |
| 13.298 | Nurse Practitioner Training Program and Nurse Practitioner Traineeships (B) |
| 13.299 | Advanced Nurse Training Program (B) |
| 13.306 | Laboratory Animal Sciences and Primate Research (B) |
| 13.361 | Nursing Research Project Grants (B) |
| 13.394 | Cancer Detection and Diagnosis Research (B) |
| 13.395 | Cancer Treatment Research (B) |
| 13.396 | Cancer Biology Research (B) |
| 13.398 | Cancer Research Manpower (B) |
| 13.399 | Cancer Control (B) |
| 13.821 | Physiology and Biomedical Engineering (B) |
| 13.837 | Heart and Vascular Diseases Research (B) |
| 13.838 | Lung Diseases Research (B) |
| 13.839 | Blood Diseases and Resources Research (B) |
| 13.840 | Caries Research (B) |
| 13.841 | Periodontal Diseases Research (B) |
| 13.842 | Craniofacial Anomalies Research (B) |
| 13.843 | Restorative Materials Research (B) |
| 13.844 | Pain Control and Behavioral Studies (B) |
| 13.846 | Arthritis, Musculoskeletal and Skin Diseases Research (B) |
| 13.847 | Diabetes, Endocrinology and Metabolism Research (B) |
| 13.848 | Digestive Diseases and Nutrition Research (B) |
| 13.853 | Clinical Research (B) |
| 13.854 | Biological Basis Research (B) |
| 13.859 | Pharmacological Sciences (B) |
| 13.862 | Genetics Research (B) |
| 13.863 | Cellular and Molecular Basis of Disease Research (B) |
| 13.864 | Population Research (B) |
| 13.865 | Research for Mothers and Children (B) |
| 13.866 | Aging Research (B) |

| | |
|---|---|
| **13.867** | Retinal and Choroidal Diseases Research (B) |
| **13.868** | Corneal Diseases Research (B) |
| **13.869** | Cataract Research (B) |
| **13.870** | Glaucoma Research (B) |
| **13.878** | Soft Tissue Stomatology and Nutrition Research (B) |
| **13.879** | Medical Library Assistance (B) |
| **13.891** | Alcohol Research Center Grants (B) |
| **13.892** | Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) |
| **13.893** | Mechanisms of Environmental Diseases and Disorders (B) |
| **16.562** | Criminal Justice Research and Development—Graduate Research Fellowships (B) |
| **45.132** | Promotion of the Humanities—Research Materials: Publications (B) |
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### NOVEMBER 5, 1982

| | |
|---|---|
| **84.015** | National Resource Centers and Fellowships in International Studies (B) |

### NOVEMBER 15, 1982

| | |
|---|---|
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| **13.714** | Medical Assistance Program (A) |
| **13.808** | Assistance Payments—Maintenance Assistance (A) |
| **13.810** | Assistance Payments—State and Local Training (A) |
| **16.561** | National Institute of Justice Visiting Fellowships (B) |
| **45.115** | Promotion of the Humanities—Youthgrants (B) |
| **84.009** | Program for Education of Handicapped Children in State Operated or Supported Schools (A) |

### NOVEMBER 17, 1982

| | |
|---|---|
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### DECEMBER 1982

| | |
|---|---|
| **84.023** | Handicapped—Research and Demonstration (B) |
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### DECEMBER 1, 1982

| | |
|---|---|
| **45.123** | Promotion of the Humanities—Consultant Grant Program (B) |
| **45.133** | Promotion of the Humanities—Science, Technology and Human Values (B) |
| **60.007** | Museums—Assistance and Advice (B,K,L,M) |
| **84.029** | Handicapped Personnel Preparation (B) |

### DECEMBER 3, 1982

| | |
|---|---|
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| **84.120** | Minority Institutions Science Improvement Program (B) |

### DECEMBER 11, 1982

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|---|---|
| **13.822** | Health Careers Opportunity Program (B) |

### DECEMBER 15, 1982

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|---|---|
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### DECEMBER 31, 1982

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|---|---|
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### JANUARY 1983

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|---|---|
| **42.002** | Copyright Service (L) |
| **84.023** | Handicapped—Research and Demonstration (B) |
| **84.060** | Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B) |
| **84.061** | Indian Education—Special Programs and Projects (B) |
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### JANUARY 1, 1983

| | |
|---|---|
| **13.337** | Biomedical Research Support (B) |
| **17.600** | Mine Health and Safety Grants (B) |

### JANUARY 2, 1983

| | |
|---|---|
| **45.133** | Promotion of the Humanities—Science, Technology and Human Values (B) |

### JANUARY 15, 1983

| | |
|---|---|
| **60.001** | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |

### JANUARY 31, 1983

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|---|---|
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### FEBRUARY 1983

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|---|---|
| **13.281** | Mental Health Research Scientist Development and Research Scientist Awards (B) |

### FEBRUARY 1, 1983

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| **13.271** | Alcohol Research Scientist Development and Research Scientist Awards (B) |
| **13.274** | Alcohol Clinical or Service Related Training Programs (B) |
| **13.280** | Drug Abuse Clinical or Service Related Training Programs (B) |
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| **13.394** | Cancer Detection and Diagnosis Research (B) |
| **13.395** | Cancer Treatment Research (B) |
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| **13.894** | Environmental Health Research and Manpower Development Resources (B) |
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### FEBRUARY 2, 1983

| | |
|---|---|
| **45.133** | Promotion of the Humanities—Science, Technology and Human Values (B) |

### FEBRUARY 15, 1983

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**66.501** Air Pollution Control Research Grants (B)
**66.502** Pesticides Control Research Grants (B)
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**66.505** Water Pollution Control—Research, Development, and Demonstration Grants (B)
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**MARCH 1983**

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**MARCH 3, 1983**

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**MARCH 4, 1983**

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**MARCH 15, 1983**

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**MARCH 30, 1983**

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**APRIL 1983**

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**45.127** Promotion of the Humanities—Elementary and Secondary Education Program (B)
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**13.714** Medical Assistance Program (A)

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**JULY 1, 1983**

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**SEPTEMBER 1983**

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**SEPTEMBER 1, 1983**

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**OCTOBER 31, 1984**

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**DECEMBER 31, 1989**

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# FUNCTIONAL INDEX SUMMARY

*Listed below are 20 basic functional categories in which all domestic assistance programs have been grouped by primary puurpose. Within these basic groups are a total of 176 subcategories or subgroupings which further identify specific areas of interest. For example, if you are interested in buying a home, refer to the major category, "Housing," and to the subcategory "Homebuying, Homeownership." Go to the index page shown for this subcategory and you will find all appropriate program titles and program numbers. Select the desired program title and look up by program number. (Programs are in numerical sequence).*

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45.130 Promotion of the Humanities—Challenge Grants Program (C)
45.201 Arts and Artifacts Indemnity (G)
45.301 Institute of Museum Services (D)
60.001 Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M)
60.007 Museums—Assistance and Advice (B,K,L,M)

| | |
|---|---|
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |

**RURAL COMMUNITY DEVELOPMENT**

| | |
|---|---|
| 10.200 | Grants for Agricultural Research, Special Research Grants (B) |
| 10.250 | Agricultural and Rural Economic Research (L) |
| 10.350 | Technical Assistance to Cooperatives (K,L) |
| 10.405 | Farm Labor Housing Loans and Grants (B,F) |
| 10.406 | Farm Operating Loans (F) |
| 10.407 | Farm Ownership Loans (F) |
| 10.408 | Grazing Association Loans (F) |
| 10.409 | Irrigation, Drainage, and Other Soil and Water Conservation Loans (F) |
| 10.410 | Low to Moderate Income Housing Loans (F) |
| 10.411 | Rural Housing Site Loans (E,F) |
| 10.413 | Recreation Facility Loans (F) |
| 10.414 | Resource Conservation and Development Loans (F) |
| 10.415 | Rural Rental Housing Loans (F) |
| 10.418 | Water and Waste Disposal Systems for Rural Communities (B,E) |
| 10.420 | Rural Self-Help Housing Technical Assistance (B) |
| 10.422 | Business and Industrial Loans (F) |
| 10.423 | Community Facilities Loans (F) |
| 10.431 | Technical and Supervisory Assistance Grants (B) |
| 10.500 | Cooperative Extension Service (A) |
| 10.850 | Rural Electrification Loans and Loan Guarantees (F) |
| 10.851 | Rural Telephone Loans and Loan Guarantees (F) |
| 10.852 | Rural Telephone Bank Loans (E) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 20.105 | Loan Guarantees for Purchase of Aircraft and Spare Parts (F) |
| 20.509 | Public Transportation for Nonurbanized Areas (A) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |

**RECREATION**

| | |
|---|---|
| 10.405 | Farm Labor Housing Loans and Grants (B,F) |
| 10.406 | Farm Operating Loans (F) |
| 10.407 | Farm Ownership Loans (F) |
| 10.413 | Recreation Facility Loans (F) |
| 10.414 | Resource Conservation and Development Loans (F) |
| 10.415 | Rural Rental Housing Loans (F) |
| 10.422 | Business and Industrial Loans (F) |
| 10.423 | Community Facilities Loans (F) |
| 10.901 | Resource Conservation and Development (B,K) |
| 10.903 | Soil Survey (L) |
| 10.904 | Watershed Protection and Flood Prevention (B,K) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.401 | Nautical Charts and Related Data (J,K,L) |
| 11.405 | Anadromous and Great Lakes Fisheries Conservation (B) |
| 11.419 | Coastal Zone Management Program Administration (B) |
| 11.420 | Coastal Zone Management Estuarine Sanctuaries (B) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 11.424 | Coastal Energy Impact Program—Environmental Grants (B) |
| 12.101 | Beach Erosion Control Projects (J) |
| 13.289 | President's Council on Physical Fitness and Sports (J,K,L,M) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 15.124 | Indian Loans—Economic Development (E,F,J) |
| 15.503 | Small Reclamation Projects (B,E) |
| 15.600 | Anadromous Fish Conservation (B) |
| 15.603 | Farm Fish Pond Management (H) |
| 15.604 | Fishery Research—Information (L) |
| 15.605 | Fish Restoration (A,B) |
| 15.606 | Migratory Bird Banding and Data Analysis (L) |
| 15.608 | Sport Fish Technical Assistance (J) |
| 15.609 | Wildlife Technical Assistance (K,L,M) |
| 15.610 | Wildlife Ecology Research Information (L) |
| 15.611 | Wildlife Restoration (A,B) |
| 15.804 | Water Resources Investigations (J,L) |
| 15.900 | Disposal of Surplus Wildlife (H) |
| 15.916 | Outdoor Recreation—Acquisition, Development and Planning (B) |
| 15.917 | Recreation—Technical Assistance (K,L,M) |
| 15.918 | Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (K) |
| 15.919 | Urban Park and Recreation Recovery Program (B) |
| 20.001 | Boating Safety (J,L,M) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |
| 83.516 | Disaster Assistance (B,I,J) |

**SITE ACQUISITION**

| | |
|---|---|
| 10.407 | Farm Ownership Loans (F) |
| 10.408 | Grazing Association Loans (F) |
| 10.413 | Recreation Facility Loans (F) |
| 10.421 | Indian Tribes and Tribal Corporation Loans (F) |
| 10.422 | Business and Industrial Loans (F) |
| 10.423 | Community Facilities Loans (F) |
| 11.301 | Economic Development—Business Development Assistance (E,F) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 11.800 | Minority Business Development—Management and Technical Assistance (B) |
| 14.168 | Land Sales—Parcels of Subdivided Land (L,N) |
| 14.211 | Surplus Land for Low and Moderate Income Housing (H,K) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |

**INDIAN ACTION SERVICES**

| | |
|---|---|
| 10.421 | Indian Tribes and Tribal Corporation Loans (F) |
| 10.422 | Business and Industrial Loans (F) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.301 | Economic Development—Business Development Assistance (E,F) |
| 11.302 | Economic Development—Support for Planning Organizations (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.655 | Special Programs for the Aging—Title VI—Grants to Indian Tribes (B) |
| 13.661 | Native American Programs—Research, Demonstration, and Evaluation (B) |

| | |
|---|---|
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 14.229 | Community Development Block Grants/Secretary's Discretionary Fund (B,C) |
| 15.113 | Indian Social Services—General Assistance (D) |
| 15.123 | Indian Loans—Claims Assistance (E) |
| 15.124 | Indian Loans—Economic Development (E,F,J) |
| 15.130 | Indian Education—Assistance to Schools (C) |
| 15.142 | Self Determination Grants—Indian Tribal Governments (B) |
| 15.143 | Training and Technical Assistance—Indian Tribal Governments (B,J,K,M) |
| 15.850 | Indian Arts and Crafts Development (I,K,N) |
| 15.900 | Disposal of Surplus Wildlife (H) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |
| 84.062 | Indian Education—Adult Indian Education (B) |

## FEDERAL SURPLUS PROPERTY

| | |
|---|---|
| 12.700 | Donations/Loans of Obsolete DOD Property (I) |
| 13.676 | Surplus Property Utilization (H) |
| 14.211 | Surplus Land for Low and Moderate Income Housing (H,K) |
| 15.900 | Disposal of Surplus Wildlife (H) |
| 15.915 | Technical Preservation Services (J,K,L) |
| 15.918 | Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (K) |
| 20.805 | Ship Sales (H) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 39.002 | Disposal of Federal Surplus Real Property (H) |
| 39.003 | Donation of Federal Surplus Personal Property (H) |
| 39.007 | Sale of Federal Surplus Personal Property (H) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |
| 81.022 | Used Energy-Related Laboratory Equipment Grants (H) |

## TECHNICAL ASSISTANCE AND SERVICES

| | |
|---|---|
| 10.420 | Rural Self-Help Housing Technical Assistance (B) |
| 10.431 | Technical and Supervisory Assistance Grants (B) |
| 11.004 | Census Intergovernmental Services (K,L,M) |
| 11.303 | Economic Development—Technical Assistance (B) |
| 11.306 | Economic Development—District Operational Assistance (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 11.428 | Intergovernmental Climate—Demonstration Project (B) |
| 11.601 | Calibration and Testing Services (L) |
| 11.800 | Minority Business Development—Management and Technical Assistance (B) |
| 12.104 | Flood Plain Management Services (K,L) |
| 12.110 | Planning Assistance to States (J) |
| 12.600 | Community Economic Adjustment (J,K) |
| 13.226 | Health Services Research and Development—Grants (B) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.665 | Community Services Block Grant (A) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 14.229 | Community Development Block Grants/Secretary's Discretionary Fund (B,C) |
| 16.200 | Community Relations Service (K) |
| 16.541 | Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance (B) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 23.011 | Appalachian State Research, Technical Assistance, and Demonstration Projects (B) |
| 44.001 | Credit Union Charter, Examination, Supervision, and Insurance (G,J,K) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |
| 72.003 | Volunteers in Service to America (J) |
| 72.012 | Volunteer Demonstration Program (B) |
| 83.003 | Public Education Assistance Program (B) |
| 83.005 | Arson Task Force Assistance Program (J,K,L) |
| 84.148 | Allen J. Ellender Fellowship Program (B) |

## LAND ACQUISITION

| | |
|---|---|
| 10.413 | Recreation Facility Loans (F) |
| 10.414 | Resource Conservation and Development Loans (F) |
| 10.421 | Indian Tribes and Tribal Corporation Loans (F) |
| 10.422 | Business and Industrial Loans (F) |
| 10.423 | Community Facilities Loans (F) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 14.207 | New Communities—Loan Guarantees (F) |
| 14.211 | Surplus Land for Low and Moderate Income Housing (H,K) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 15.124 | Indian Loans—Economic Development (E,F,J) |
| 15.605 | Fish Restoration (A,B) |
| 15.611 | Wildlife Restoration (A,B) |
| 15.904 | Historic Preservation Grants-In-Aid (B) |
| 15.916 | Outdoor Recreation—Acquisition, Development and Planning (B) |
| 15.917 | Recreation—Technical Assistance (K,L,M) |
| 20.102 | Airport Development Aid Program (B,K) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |

## FIRE PROTECTION

| | |
|---|---|
| 10.423 | Community Facilities Loans (F) |
| 10.652 | Forestry Research (B) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 21.300 | State and Local Government Fiscal Assistance—General Revenue Sharing (A) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |

| | |
|---|---|
| 83.002 | State Fire Incident Reporting Assistance (B) |
| 83.003 | Public Education Assistance Program (B) |
| 83.004 | Technical Support Services (J) |
| 83.007 | Reimbursement for Firefighting on Federal Property (C) |
| 83.101 | Urban Property Insurance (G) |
| 83.404 | Academy Planning Assistance (B) |
| 83.405 | Student Stipend Program (C) |
| 83.501 | State Assistance Program (B) |
| 83.505 | State Disaster Preparedness Grants (B) |
| 83.516 | Disaster Assistance (B,I,J) |

## CONSUMER PROTECTION

### REGULATION, INSPECTION, ENFORCEMENT

| | |
|---|---|
| 10.154 | Market Supervision and Assistance (J,K,M) |
| 10.475 | Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B) |
| 10.800 | Livestock and Poultry Market Supervision (N) |
| 11.413 | Fishery Products Inspection and Certification (J) |
| 20.001 | Boating Safety (J,L,M) |
| 20.301 | Railroad Safety (N) |
| 20.303 | Grants-in-Aid for Railroad Safety—State Participation (B) |
| 20.600 | State and Community Highway Safety (A) |
| 20.700 | Gas Pipeline Safety (A) |
| 44.001 | Credit Union Charter, Examination, Supervision, and Insurance (G,J,K) |
| 87.001 | Voluntary Standards Assistance (K) |

### COMPLAINT INVESTIGATION

| | |
|---|---|
| 10.154 | Market Supervision and Assistance (J,K,M) |
| 10.165 | Perishable Agricultural Commodities Act (N) |
| 10.800 | Livestock and Poultry Market Supervision (N) |
| 15.850 | Indian Arts and Crafts Development (I,K,N) |
| 17.306 | Consumer Credit Protection (K,N) |
| 20.217 | Motor Carrier Safety (M,N) |
| 26.002 | Air Transportation—Consumer Affairs (N) |
| 29.001 | Clearinghouse Services, Civil Rights Discrimination Complaints (L) |
| 32.001 | Communications Information and Investigation of Complaints (L,N) |
| 33.001 | Shipping—Investigation of Complaints (N) |
| 36.001 | Fair Competition Counseling and Investigation of Complaints (K,N) |
| 41.002 | Interstate Commerce—Investigation of Complaints (N) |
| 58.001 | Securities—Investigation of Complaints and SEC Information (L,N) |
| 78.004 | Commodity Futures Reparations Claims (N) |
| 87.001 | Voluntary Standards Assistance (K) |

### INFORMATION AND EDUCATIONAL SERVICES

| | |
|---|---|
| 13.678 | Consumer Affairs (K,L) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 14.168 | Land Sales—Parcels of Subdivided Land (L,N) |
| 29.001 | Clearinghouse Services, Civil Rights Discrimination Complaints (L) |
| 36.001 | Fair Competition Counseling and Investigation of Complaints (K,N) |
| 39.009 | Consumer Information Center (L) |
| 58.001 | Securities—Investigation of Complaints and SEC Information (L,N) |
| 60.001 | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |
| 78.002 | Commodity Futures Market Reports (L) |
| 84.049 | Vocational Education—Consumer and Homemaking Education (A) |

## CULTURAL AFFAIRS

### PROMOTION OF THE ARTS

| | |
|---|---|
| 11.551 | Public Telecommunications Services Program (B) |
| 15.850 | Indian Arts and Crafts Development (I,K,N) |
| 45.001 | Promotion of the Arts—Design Arts (B,C) |
| 45.002 | Promotion of the Arts—Dance (B,C) |
| 45.003 | Promotion of the Arts—Artists-in-Education (B) |
| 45.004 | Promotion of the Arts—Literature (B) |
| 45.005 | Promotion of the Arts—Music (B,C) |
| 45.006 | Promotion of the Arts—Media Arts: Film/Radio/Television (B) |
| 45.007 | Promotion of the Arts—State Programs/Partnership Coordination (A,B,K) |
| 45.008 | Promotion of the Arts—Theatre (B) |
| 45.009 | Promotion of the Arts—Visual Arts (B) |
| 45.010 | Promotion of the Arts—Expansion Arts (B) |
| 45.011 | Promotion of the Arts—Inter-Arts (B) |
| 45.012 | Promotion of the Arts—Museums (B) |
| 45.013 | Promotion of the Arts—Challenge Grants (B) |
| 45.014 | Promotion of the Arts—Opera and Musical Theatre (B) |
| 45.015 | Promotion of the Arts—Folk Arts (B) |
| 45.020 | Promotion of the Arts—National Endowment Fellowship Program (B) |
| 45.201 | Arts and Artifacts Indemnity (G) |
| 45.301 | Institute of Museum Services (D) |
| 60.001 | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |
| 60.007 | Museums—Assistance and Advice (B,K,L,M) |
| 60.013 | Smithsonian Institution Traveling Exhibition Service (I,J) |
| 60.016 | Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (B,C) |
| 68.001 | National Gallery of Art Extension Service (I) |

### PROMOTION OF THE HUMANITIES

| | |
|---|---|
| 45.104 | Promotion of the Humanities—Media Humanities Projects (B) |
| 45.109 | Promotion of the Humanities—Fellowships for Journalists (B) |
| 45.111 | Promotion of the Humanities—Higher Education/Regional and National Grants (B) |
| 45.113 | Promotion of the Humanities—Program Development (B) |
| 45.115 | Promotion of the Humanities—Youthgrants (B) |
| 45.116 | Promotion of the Humanities—Summer Seminars for College Teachers (B) |
| 45.121 | Promotion of the Humanities—Summer Stipends (B) |
| 45.122 | Promotion of the Humanities—Fellowships at Centers for Advanced Study (B) |
| 45.123 | Promotion of the Humanities—Consultant Grant Program (B) |
| 45.124 | Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) |
| 45.125 | Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations (B) |
| 45.127 | Promotion of the Humanities—Elementary and Secondary Education Program (B) |
| 45.128 | Promotion of the Humanities—Planning and Assessment Studies Program (B) |
| 45.129 | Promotion of the Humanities—State Programs (B) |
| 45.130 | Promotion of the Humanities—Challenge Grants Program (C) |
| 45.132 | Promotion of the Humanities—Research Materials: Publications (B) |
| 45.133 | Promotion of the Humanities—Science, Technology and Human Values (B) |
| 45.134 | Promotion of the Humanities—Research Conferences (B) |
| 45.135 | Promotion of the Humanities—Youth Projects (B) |
| 45.137 | Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B) |
| 45.138 | Promotion of the Humanities—Education Pilot Grants (B) |
| 45.139 | Promotion of the Humanities—Education Implementation Grants (B) |
| 45.140 | Promotion of the Humanities—Basic Research (B) |
| 45.141 | Promotion of the Humanities—State, Local, and Regional Studies (B) |

45.142 Promotion of the Humanities—Fellowships for Independent Study and Research (B)
45.143 Promotion of the Humanities—Fellowships for College Teachers (B)
45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B)
45.146 Promotion of the Humanities—Research Materials/Editions (B)
45.147 Promotion of the Humanities—Research Materials/Translations (B)
45.148 Promotion of the Humanities—Intercultural Research Program (B)
45.149 Promotion of the Humanities—Research Resources-Conservation and Preservation Grants (B)
45.201 Arts and Artifacts Indemnity (G)
60.007 Museums—Assistance and Advice (B,K,L,M)
60.020 Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs (B,I)

## DISASTER PREVENTION AND RELIEF

### EMERGENCY PREPAREDNESS, CIVIL DEFENSE

10.054 Emergency Conservation Program (C)
11.401 Nautical Charts and Related Data (J,K,L)
12.400 Military Construction, Army National Guard (B)
13.676 Surplus Property Utilization (H)
14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F)
14.219 Community Development Block Grants/Small Cities Program (B)
20.205 Highway Planning and Construction (A,B)
81.028 Radiological Emergency Assistance (J,K,L)
83.101 Urban Property Insurance (G)
83.400 Emergency Management Institute—Student Expense Program (B,M)
83.401 Emergency Management—Architect/Engineer Student Development (M)
83.403 Training and Education Field Deployment (A,B,M)
83.500 General Research, Development, and Demonstration Activity (B)
83.503 Emergency Management Assistance (A)
83.504 State and Local Maintenance and Services (B)
83.505 State Disaster Preparedness Grants (B)
83.506 Earthquake and Hurricane Loss Study and Contingency Planning Grants (B)
83.507 Industrial Preparedness Planning (L,M)
83.508 Radiological Systems Maintenance (B,J)
83.509 National Shelter Survey (J)
83.510 Radiation Shielding Design (K)
83.511 State Radiological Defense Officers (B,J)
83.512 State and Local Emergency Operating Centers (B)
83.513 State and Local Supporting Materials (B)
83.514 Nuclear Civil Protection Planning (B)
83.515 Broadcast Station Protection Program (B)
83.516 Disaster Assistance (B,I,J)
84.040 School Assistance in Federally Affected Areas—Construction (B)
84.041 School Assistance in Federally Affected Areas—Maintenance and Operation (A)

### FLOOD PREVENTION AND CONTROL

10.054 Emergency Conservation Program (C)
10.409 Irrigation, Drainage, and Other Soil and Water Conservation Loans (F)
10.416 Soil and Water Loans (F)
10.418 Water and Waste Disposal Systems for Rural Communities (B,E)
10.419 Watershed Protection and Flood Prevention Loans (F)
10.423 Community Facilities Loans (F)
10.901 Resource Conservation and Development (B,K)
10.902 Soil and Water Conservation (K)
10.904 Watershed Protection and Flood Prevention (B,K)
10.906 River Basin Surveys and Investigations (J,K)
11.300 Economic Development—Grants for Public Works and Development Facilities (B)
11.304 Economic Development—Public Works Impact Projects (B)
11.421 Coastal Energy Impact Program—Formula Grants (A)
12.101 Beach Erosion Control Projects (J)
12.102 Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (J)
12.103 Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (J)
12.104 Flood Plain Management Services (K,L)
12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)
12.106 Flood Control Projects (J)
12.108 Snagging and Clearing for Flood Control (J)
15.503 Small Reclamation Projects (B,E)
15.950 National Water Research and Development Program (B)
15.952 Water Research and Technology—Matching Funds to State Institutes (B)
83.100 Flood Insurance (G)
83.501 State Assistance Program (B)
83.502 Acquisition of Flood-Damaged Structures (H)
83.505 State Disaster Preparedness Grants (B)
83.506 Earthquake and Hurricane Loss Study and Contingency Planning Grants (B)

### EMERGENCY HEALTH SERVICES

13.228 Indian Health Services—Health Management Development Program (B)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
20.600 State and Community Highway Safety (A)
66.507 Toxic Substances Research Grants (B)
81.028 Radiological Emergency Assistance (J,K,L)
83.505 State Disaster Preparedness Grants (B)
83.506 Earthquake and Hurricane Loss Study and Contingency Planning Grants (B)
83.516 Disaster Assistance (B,I,J)

### DISASTER RELIEF

10.052 Cotton Production Stabilization (D)
10.054 Emergency Conservation Program (C)
10.055 Feed Grain Production Stabilization (D)
10.058 Wheat Production Stabilization (D)
10.065 Rice Production Stabilization (D)
10.066 Emergency Feed Program (D)
10.404 Emergency Loans (F)
11.401 Nautical Charts and Related Data (J,K,L)
12.102 Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (J)
12.103 Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (J)
14.119 Mortgage Insurance—Homes for Disaster Victims (F)
14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F)
14.219 Community Development Block Grants/Small Cities Program (B)
59.002 Economic Injury Disaster Loans (E,F)
59.008 Physical Disaster Loans (E,F)
83.100 Flood Insurance (G)
83.101 Urban Property Insurance (G)
83.500 General Research, Development, and Demonstration Activity (B)
83.502 Acquisition of Flood-Damaged Structures (H)
83.505 State Disaster Preparedness Grants (B)

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|---|---|
| 83.506 | Earthquake and Hurricane Loss Study and Contingency Planning Grants (B) |
| 83.511 | State Radiological Defense Officers (B,J) |
| 83.514 | Nuclear Civil Protection Planning (B) |
| 83.516 | Disaster Assistance (B,I,J) |
| 84.040 | School Assistance in Federally Affected Areas—Construction (B) |
| 84.041 | School Assistance in Federally Affected Areas—Maintenance and Operation (A) |

## EDUCATION

### DENTAL EDUCATION AND TRAINING

| | |
|---|---|
| 13.288 | National Health Service Corps Scholarship Program (B) |
| 13.337 | Biomedical Research Support (B) |
| 13.339 | Health Professions—Capitation Grants (B) |
| 13.342 | Health Professions—Student Loans (B) |
| 13.375 | Minority Biomedical Research Support (B) |
| 13.384 | Health Professions—Start-Up Assistance (B) |
| 13.398 | Cancer Research Manpower (B) |
| 13.897 | Residency Training in the General Practice of Dentistry (B) |

### EDUCATIONAL EQUIPMENT AND RESOURCES

| | |
|---|---|
| 11.422 | Coastal Energy Impact Program—Planning Grants (B) |
| 12.001 | Industrial Equipment Loans to Educational Institutions (I) |
| 12.700 | Donations/Loans of Obsolete DOD Property (I) |
| 13.306 | Laboratory Animal Sciences and Primate Research (B) |
| 13.371 | Biotechnology Research (B) |
| 13.879 | Medical Library Assistance (B) |
| 13.984 | Grants for Establishment of Departments of Family Medicine (B) |
| 15.217 | Cooperative Agreements With Interpretive Associations (I) |
| 20.806 | State Marine Schools (C,I) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 45.301 | Institute of Museum Services (D) |
| 47.049 | Mathematical and Physical Sciences (B) |
| 47.060 | Research Improvement in Minority Institutions (B) |
| 60.001 | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |
| 68.001 | National Gallery of Art Extension Service (I) |
| 81.011 | University Reactor Sharing and Fuel Assistance (B,H) |
| 81.022 | Used Energy-Related Laboratory Equipment Grants (H) |
| 84.005 | College Library Resources (B) |
| 84.009 | Program for Education of Handicapped Children in State Operated or Supported Schools (A) |
| 84.024 | Handicapped Early Childhood Assistance (B) |
| 84.034 | Public Library Services (A) |
| 84.039 | Library Research and Demonstration (B) |
| 84.041 | School Assistance in Federally Affected Areas—Maintenance and Operation (A) |
| 84.091 | Strengthening Research Library Resources (B) |
| 84.135 | Aid to Land-Grant Colleges (B) |
| 84.142 | Housing for Educational Institutions (E) |
| 84.144 | Migrant Education—Interstate and Intrastate Coordination Program (B) |
| 84.145 | Federal Real Property Assistance Program (H) |

### EDUCATIONAL FACILITIES

| | |
|---|---|
| 10.423 | Community Facilities Loans (F) |
| 11.105 | Importation of Duty-Free Educational and Scientific Materials (J) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 11.551 | Public Telecommunications Services Program (B) |
| 12.400 | Military Construction, Army National Guard (B) |
| 13.375 | Minority Biomedical Research Support (B) |
| 13.392 | Cancer—Construction (B) |
| 13.676 | Surplus Property Utilization (H) |
| 13.985 | Eye Research—Facility Construction (B) |
| 20.002 | Coast Guard Cooperative Marine Sciences Program (I) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 39.007 | Sale of Federal Surplus Personal Property (H) |
| 45.137 | Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B) |
| 84.040 | School Assistance in Federally Affected Areas—Construction (B) |
| 84.048 | Vocational Education—Basic Grants to States (A) |
| 84.049 | Vocational Education—Consumer and Homemaking Education (A) |
| 84.051 | Vocational Education—Program Improvement Projects (B) |
| 84.145 | Federal Real Property Assistance Program (H) |

### ELEMENTARY AND SECONDARY

| | |
|---|---|
| 10.564 | Nutrition Education and Training Program (A) |
| 16.100 | Desegregation of Public Education (J) |
| 20.100 | Aviation Education (K,L) |
| 43.001 | Aerospace Education Services Project (L) |
| 45.127 | Promotion of the Humanities—Elementary and Secondary Education Program (B) |
| 72.005 | National Center for Service-Learning (B,J,K,L,M) |
| 81.002 | Motion Picture Film Libraries (L) |
| 84.002 | Adult Education—State-Administered Program (A) |
| 84.003 | Bilingual Education (B,C) |
| 84.009 | Program for Education of Handicapped Children in State Operated or Supported Schools (A) |
| 84.010 | Educationally Deprived Children—Local Educational Agencies (A) |
| 84.011 | Migrant Education—Basic State Formula Grant Program (A) |
| 84.012 | Educationally Deprived Children—State Administration (A) |
| 84.013 | Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (A) |
| 84.014 | Follow Through (B) |
| 84.065 | Educational Television and Radio Programming (B) |
| 84.067 | Use of Technology in Basic Skills Instruction (B) |
| 84.073 | National Diffusion Network (B,K,L) |
| 84.086 | Innovative Programs for Severely Handicapped Children (B) |
| 84.116 | Fund for the Improvement of Postsecondary Education (B) |
| 84.121 | Vocational Education—State Planning and Evaluation (A) |
| 84.124 | Territorial Teacher Training Assistance Program (B) |
| 84.141 | Migrant Education—High School Equivalency Program (B) |
| 84.144 | Migrant Education—Interstate and Intrastate Coordination Program (B) |
| 84.146 | Transition Program for Refugee Children (A,C) |
| 84.148 | Allen J. Ellender Fellowship Program (B) |
| 84.149 | Migrant Education—College Assistance Migrant Program (B) |
| 84.151 | Education Consolidation and Improvement Programs—Chapter 2 (A) |
| 84.152 | Neglected or Delinquent Transition Services (B) |

### GENERAL RESEARCH AND EVALUATION

| | |
|---|---|
| 10.207 | Animal Health and Disease Research (A) |
| 11.417 | Sea Grant Support (B) |
| 13.333 | Clinical Research (B) |
| 13.337 | Biomedical Research Support (B) |
| 13.361 | Nursing Research Project Grants (B) |
| 13.375 | Minority Biomedical Research Support (B) |
| 13.393 | Cancer Cause and Prevention Research (B) |
| 13.394 | Cancer Detection and Diagnosis Research (B) |
| 13.395 | Cancer Treatment Research (B) |
| 13.396 | Cancer Biology Research (B) |
| 13.397 | Cancer Centers Support (B) |
| 13.398 | Cancer Research Manpower (B) |
| 13.399 | Cancer Control (B) |
| 13.608 | Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B) |
| 13.628 | Child Abuse and Neglect Prevention and Treatment (A,B) |
| 13.814 | Refugee Assistance—State Administered Programs (D) |
| 13.821 | Physiology and Biomedical Engineering (B) |

| | |
|---|---|
| 13.879 | Medical Library Assistance (B) |
| 13.880 | Minority Access to Research Careers (B) |
| 13.892 | Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) |
| 13.893 | Mechanisms of Environmental Diseases and Disorders (B) |
| 13.894 | Environmental Health Research and Manpower Development Resources (B) |
| 16.602 | Corrections—Research and Evaluation and Policy Formulation (B,J,L) |
| 20.002 | Coast Guard Cooperative Marine Sciences Program (I) |
| 20.502 | Urban Mass Transportation Grants for University Research and Training (B) |
| 20.510 | Urban Mass Transportation Planning Methods Research and Development (B,L,M) |
| 20.811 | Research and Development Assistance (B) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 45.124 | Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) |
| 45.133 | Promotion of the Humanities—Science, Technology and Human Values (B) |
| 45.134 | Promotion of the Humanities—Research Conferences (B) |
| 45.135 | Promotion of the Humanities—Youth Projects (B) |
| 45.142 | Promotion of the Humanities—Fellowships for Independent Study and Research (B) |
| 45.145 | Promotion of the Humanities—Research Materials/Tools and Reference Works (B) |
| 45.146 | Promotion of the Humanities—Research Materials/Editions (B) |
| 45.147 | Promotion of the Humanities—Research Materials/Translations (B) |
| 47.041 | Engineering Grants (B) |
| 47.053 | Scientific, Technological, and International Affairs (B) |
| 47.055 | Two-Year and Four-Year College Research Instrumentation (B) |
| 47.057 | Minority Research Initiation (B) |
| 47.060 | Research Improvement in Minority Institutions (B) |
| 60.001 | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |
| 60.007 | Museums—Assistance and Advice (B,K,L,M) |
| 60.016 | Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (B,C) |
| 60.020 | Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs (B,I) |
| 81.049 | Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) |
| 82.002 | Educational Exchange—University Lecturers (Professors) and Research Scholars (B) |
| 83.516 | Disaster Assistance (B,I,J) |
| 84.017 | International Research and Studies (B) |
| 84.019 | Fulbright-Hays Training Grants—Faculty Research Abroad (B) |
| 84.022 | Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B) |
| 84.023 | Handicapped—Research and Demonstration (B) |
| 84.026 | Handicapped Media Services and Captioned Films (B,C) |
| 84.029 | Handicapped Personnel Preparation (B) |
| 84.039 | Library Research and Demonstration (B) |
| 84.048 | Vocational Education—Basic Grants to States (A) |
| 84.050 | Vocational Education—Program Improvement and Supportive Service (A) |
| 84.051 | Vocational Education—Program Improvement Projects (B) |
| 84.055 | Higher Education—Cooperative Education (B) |
| 84.060 | Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B) |
| 84.062 | Indian Education—Adult Indian Education (B) |
| 84.067 | Use of Technology in Basic Skills Instruction (B) |
| 84.072 | Indian Education—Grants to Indian Controlled Schools (B) |
| 84.073 | National Diffusion Network (B,K,L) |
| 84.083 | Women's Educational Equity (B) |
| 84.100 | Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C) |
| 84.117 | Educational Research and Development (B) |
| 84.121 | Vocational Education—State Planning and Evaluation (A) |
| 84.133 | National Institute of Handicapped Research (B) |
| 84.143 | Emergency School Aid Act—Evaluation Contracts (C) |
| 84.151 | Education Consolidation and Improvement Programs—Chapter 2 (A) |

## HANDICAPPED EDUCATION

| | |
|---|---|
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.632 | Administration on Developmental Disabilities—University Affiliated Facilities (B) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 47.009 | Scientific Personnel Improvement (B) |
| 84.009 | Program for Education of Handicapped Children in State Operated or Supported Schools (A) |
| 84.023 | Handicapped—Research and Demonstration (B) |
| 84.024 | Handicapped Early Childhood Assistance (B) |
| 84.025 | Handicapped Innovative Programs—Deaf-Blind Centers (B) |
| 84.026 | Handicapped Media Services and Captioned Films (B,C) |
| 84.027 | Handicapped Preschool and School Programs (A) |
| 84.028 | Handicapped Regional Resource Centers (B) |
| 84.029 | Handicapped Personnel Preparation (B) |
| 84.030 | Handicapped Teacher Recruitment and Information (B) |
| 84.042 | Special Services for Disadvantaged Students (B) |
| 84.051 | Vocational Education—Program Improvement Projects (B) |
| 84.078 | Regional Education Programs for Deaf and Other Handicapped Persons (B) |
| 84.086 | Innovative Programs for Severely Handicapped Children (B) |
| 84.121 | Vocational Education—State Planning and Evaluation (A) |
| 84.124 | Territorial Teacher Training Assistance Program (B) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |
| 84.128 | Rehabilitation Services—Special Projects (B) |
| 84.129 | Rehabilitation Training (B) |
| 84.133 | National Institute of Handicapped Research (B) |
| 84.145 | Federal Real Property Assistance Program (H) |
| 85.001 | Harry S. Truman Scholarship Program (C) |

## HEALTH EDUCATION AND TRAINING

| | |
|---|---|
| 10.500 | Cooperative Extension Service (A) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 13.108 | Health Education Assistance Loans (F) |
| 13.244 | Mental Health Clinical or Service Related Training Grants (B) |
| 13.260 | Family Planning Services (B) |
| 13.274 | Alcohol Clinical or Service Related Training Programs (B) |
| 13.279 | Drug Abuse Research Programs (B) |
| 13.280 | Drug Abuse Clinical or Service Related Training Programs (B) |
| 13.288 | National Health Service Corps Scholarship Program (B) |
| 13.289 | President's Council on Physical Fitness and Sports (J,K,L,M) |
| 13.339 | Health Professions—Capitation Grants (B) |
| 13.342 | Health Professions—Student Loans (B) |
| 13.384 | Health Professions—Start-Up Assistance (B) |
| 13.398 | Cancer Research Manpower (B) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.632 | Administration on Developmental Disabilities—University Affiliated Facilities (B) |
| 13.822 | Health Careers Opportunity Program (B) |
| 13.824 | Area Health Education Centers (B) |
| 13.880 | Minority Access to Research Careers (B) |
| 13.895 | Grants for Faculty Development in Family Medicine (B) |

13.962 Health Administration Graduate Traineeships (B)
13.963 Graduate Programs in Health Administration (B)
13.969 Curriculum Development Grants (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
84.124 Territorial Teacher Training Assistance Program (B)
84.145 Federal Real Property Assistance Program (H)
85.001 Harry S. Truman Scholarship Program (C)

HIGHER EDUCATION-GENERAL

10.500 Cooperative Extension Service (A)
11.417 Sea Grant Support (B)
12.606 Selected Reserve Educational Assistance Program (C)
13.631 Administration on Developmental Disabilities—Special Projects (B)
13.632 Administration on Developmental Disabilities—University Affiliated Facilities (B)
13.648 Child Welfare Services Training Grants (B)
13.824 Area Health Education Centers (B)
13.964 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (B)
13.984 Grants for Establishment of Departments of Family Medicine (B)
20.002 Coast Guard Cooperative Marine Sciences Program (I)
20.100 Aviation Education (K,L)
20.215 Highway Training and Education (M)
20.216 Highway Educational Grants (B,M)
20.502 Urban Mass Transportation Grants for University Research and Training (B)
20.503 Urban Mass Transportation Managerial Training Grants (B)
20.806 State Marine Schools (C,I)
20.807 U.S. Merchant Marine Academy (M)
43.001 Aerospace Education Services Project (L)
45.001 Promotion of the Arts—Design Arts (B,C)
45.004 Promotion of the Arts—Literature (B)
45.111 Promotion of the Humanities—Higher Education/Regional and National Grants (B)
45.116 Promotion of the Humanities—Summer Seminars for College Teachers (B)
45.121 Promotion of the Humanities—Summer Stipends (B)
45.138 Promotion of the Humanities—Education Pilot Grants (B)
45.139 Promotion of the Humanities—Education Implementation Grants (B)
45.142 Promotion of the Humanities—Fellowships for Independent Study and Research (B)
45.143 Promotion of the Humanities—Fellowships for College Teachers (B)
47.009 Scientific Personnel Improvement (B)
47.055 Two-Year and Four-Year College Research Instrumentation (B)
47.057 Minority Research Initiation (B)
64.111 Veterans Educational Assistance (C)
64.117 Dependents Educational Assistance (C)
64.120 Post-Vietnam Era Veterans' Educational Assistance (C)
72.005 National Center for Service-Learning (B,J,K,L,M)
81.002 Motion Picture Film Libraries (L)
81.004 University-Laboratory Cooperative Program (B,I)
81.007 Teacher Development Projects in Energy (B,M)
81.011 University Reactor Sharing and Fuel Assistance (B,H)
81.022 Used Energy-Related Laboratory Equipment Grants (H)
81.023 Information Services—Exhibits, Public Speakers, and Publications (L)
81.039 National Energy Information Center (L)
81.048 Priorities and Allocations for Energy Programs and Projects (J,M)
81.057 University Coal Research (B)
82.001 Educational Exchange—Graduate Students (B)
83.401 Emergency Management—Architect/Engineer Student Development (M)
84.007 Supplemental Educational Opportunity Grants (C)
84.014 Follow Through (B)
84.015 National Resource Centers and Fellowships in International Studies (B)
84.016 Undergraduate International Studies and Foreign Language Programs (B)
84.017 International Research and Studies (B)
84.021 Fulbright-Hays Training Grants—Group Projects Abroad (B)
84.022 Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B)
84.031 Higher Education—Strengthening Developing Institutions (B)
84.032 Higher Education Act Insured Loans (F)
84.033 College Work—Study Program (C)
84.036 Library Career Training (B)
84.037 National Defense/Direct Student Loan Cancellations (C,D)
84.038 National Defense/Direct Student Loans (C)
84.042 Special Services for Disadvantaged Students (B)
84.044 Talent Search (B)
84.046 Continuing Education Outreach—State Administered Program (A)
84.047 Upward Bound (B)
84.055 Higher Education—Cooperative Education (B)
84.063 Pell Grant Program (C)
84.064 Higher Education—Veterans' Cost of Instruction Program (C)
84.066 Educational Opportunity Centers (B)
84.069 Grants to States for State Student Incentives (A)
84.078 Regional Education Programs for Deaf and Other Handicapped Persons (B)
84.094 Graduate and Professional Study (B)
84.097 Law School Clinical Experience Program (B)
84.099 Bilingual Vocational Instructor Training (B,C)
84.100 Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C)
84.117 Educational Research and Development (B)
84.120 Minority Institutions Science Improvement Program (B)
84.121 Vocational Education—State Planning and Evaluation (A)
84.124 Territorial Teacher Training Assistance Program (B)
84.135 Aid to Land-Grant Colleges (B)
84.136 Legal Training for the Disadvantaged (B)
84.142 Housing for Educational Institutions (E)
84.145 Federal Real Property Assistance Program (H)
85.001 Harry S. Truman Scholarship Program (C)

INDIAN EDUCATION

13.600 Administration for Children, Youth and Families—Head Start (B)
13.662 Native American Programs—Training and Technical Assistance (B)
13.970 Health Professions Recruitment Program for Indians (B)
15.114 Indian Education—Higher Education Grant Program (B)
15.124 Indian Loans—Economic Development (E,F,J)
15.130 Indian Education—Assistance to Schools (C)
15.142 Self Determination Grants—Indian Tribal Governments (B)
15.143 Training and Technical Assistance—Indian Tribal Governments (B,J,K,M)
15.144 Indian Child Welfare Act—Title II Grants (B)
60.001 Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M)
84.003 Bilingual Education (B,C)
84.060 Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B)
84.061 Indian Education—Special Programs and Projects (B)
84.062 Indian Education—Adult Indian Education (B)
84.072 Indian Education—Grants to Indian Controlled Schools (B)
84.087 Indian Education—Fellowships for Indian Students (B)
84.101 Vocational Education—Program for Indian Tribes and Indian Organizations (B)
84.124 Territorial Teacher Training Assistance Program (B)
84.145 Federal Real Property Assistance Program (H)

| | |
|---|---|
| 85.001 | Harry S. Truman Scholarship Program (C) |

## LIBRARIES AND TECHNICAL INFORMATION SERVICES

| | |
|---|---|
| 11.651 | Science Information Exchange, Inc. (L) |
| 13.243 | Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L) |
| 13.289 | President's Council on Physical Fitness and Sports (J,K,L,M) |
| 13.379 | Grants for Graduate Training in Family Medicine (B) |
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.613 | Mental Retardation—President's Committee on Mental Retardation (L) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.879 | Medical Library Assistance (B) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 15.909 | Historic American Buildings Survey/Historic American Engineering Record (J,K,L) |
| 15.914 | National Register of Historic Places (K) |
| 16.200 | Community Relations Service (K) |
| 16.400 | Citizenship Education and Training (L) |
| 20.100 | Aviation Education (K,L) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 39.005 | National Audiovisual Center (K,L) |
| 40.001 | Depository Libraries for Government Publications (L) |
| 40.002 | Government Publications—Sales and Distribution (H,L) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 42.003 | Distribution of Library of Congress Cataloging (L) |
| 42.005 | Library of Congress Publications (L) |
| 42.006 | Library of Congress Research Services (K,L) |
| 42.007 | Reference Services in Science and Technology (L) |
| 43.001 | Aerospace Education Services Project (L) |
| 43.002 | Technology Transfer (L) |
| 45.007 | Promotion of the Arts—State Programs/Partnership Coordination (A,B,K) |
| 45.123 | Promotion of the Humanities—Consultant Grant Program (B) |
| 45.124 | Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) |
| 45.130 | Promotion of the Humanities—Challenge Grants Program (C) |
| 45.137 | Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B) |
| 60.001 | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |
| 60.007 | Museums—Assistance and Advice (B,K,L,M) |
| 60.013 | Smithsonian Institution Traveling Exhibition Service (I,J) |
| 81.002 | Motion Picture Film Libraries (L) |
| 81.003 | Granting of Patent Licenses (L) |
| 81.023 | Information Services—Exhibits, Public Speakers, and Publications (L) |
| 81.039 | National Energy Information Center (L) |
| 81.062 | National Clubs, Organizations and Associations Energy Awareness Projects (K,L) |
| 84.005 | College Library Resources (B) |
| 84.016 | Undergraduate International Studies and Foreign Language Programs (B) |
| 84.020 | Fulbright-Hays Training Grants—Foreign Curriculum Consultants (B,J) |
| 84.026 | Handicapped Media Services and Captioned Films (B,C) |
| 84.030 | Handicapped Teacher Recruitment and Information (B) |
| 84.034 | Public Library Services (A) |
| 84.035 | Interlibrary Cooperation (A) |
| 84.036 | Library Career Training (B) |
| 84.039 | Library Research and Demonstration (B) |
| 84.053 | Vocational Education—State Advisory Councils (A) |
| 84.055 | Higher Education—Cooperative Education (B) |
| 84.060 | Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B) |
| 84.062 | Indian Education—Adult Indian Education (B) |
| 84.072 | Indian Education—Grants to Indian Controlled Schools (B) |
| 84.086 | Innovative Programs for Severely Handicapped Children (B) |
| 84.091 | Strengthening Research Library Resources (B) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |
| 84.144 | Migrant Education—Interstate and Intrastate Coordination Program (B) |
| 84.151 | Education Consolidation and Improvement Programs—Chapter 2 (A) |

## MEDICAL EDUCATION AND TRAINING

| | |
|---|---|
| 13.263 | Occupational Safety and Health—Training Grants (B) |
| 13.281 | Mental Health Research Scientist Development and Research Scientist Awards (B) |
| 13.288 | National Health Service Corps Scholarship Program (B) |
| 13.339 | Health Professions—Capitation Grants (B) |
| 13.342 | Health Professions—Student Loans (B) |
| 13.379 | Grants for Graduate Training in Family Medicine (B) |
| 13.384 | Health Professions—Start-Up Assistance (B) |
| 13.398 | Cancer Research Manpower (B) |
| 13.820 | Scholarships for First-Year Students of Exceptional Financial Need (B) |
| 13.824 | Area Health Education Centers (B) |
| 13.880 | Minority Access to Research Careers (B) |
| 13.884 | Grants for Residency Training in General Internal Medicine and/or General Pediatrics (B) |
| 13.886 | Grants for Physician Assistant Training Program (B) |
| 13.896 | Grants for Predoctoral Training in Family Medicine (B) |
| 84.124 | Territorial Teacher Training Assistance Program (B) |
| 84.145 | Federal Real Property Assistance Program (H) |
| 85.001 | Harry S. Truman Scholarship Program (C) |

## NUCLEAR EDUCATION AND TRAINING

| | |
|---|---|
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 77.003 | Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B) |
| 81.004 | University-Laboratory Cooperative Program (B,I) |
| 81.007 | Teacher Development Projects in Energy (B,M) |
| 81.011 | University Reactor Sharing and Fuel Assistance (B,H) |
| 81.022 | Used Energy-Related Laboratory Equipment Grants (H) |
| 81.023 | Information Services—Exhibits, Public Speakers, and Publications (L) |
| 81.029 | Uranium Industry Seminars (L) |
| 81.049 | Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) |
| 81.075 | Energy Graduate Traineeship Program (B) |
| 83.514 | Nuclear Civil Protection Planning (B) |
| 84.124 | Territorial Teacher Training Assistance Program (B) |
| 85.001 | Harry S. Truman Scholarship Program (C) |

## NURSING EDUCATION

| | |
|---|---|
| 13.263 | Occupational Safety and Health—Training Grants (B) |
| 13.288 | National Health Service Corps Scholarship Program (B) |
| 13.297 | National Research Service Awards (B) |
| 13.298 | Nurse Practitioner Training Program and Nurse Practitioner Traineeships (B) |
| 13.299 | Advanced Nurse Training Program (B) |
| 13.337 | Biomedical Research Support (B) |
| 13.358 | Professional Nurse Traineeships (B) |
| 13.359 | Nurse Training Improvement—Special Projects (B) |
| 13.361 | Nursing Research Project Grants (B) |
| 13.363 | Nursing Scholarships (B) |
| 13.364 | Nursing Student Loans (B) |
| 13.824 | Area Health Education Centers (B) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |
| 84.055 | Higher Education—Cooperative Education (B) |
| 84.063 | Pell Grant Program (C) |
| 84.124 | Territorial Teacher Training Assistance Program (B) |

84.145 Federal Real Property Assistance Program (H)
85.001 Harry S. Truman Scholarship Program (C)

RESOURCE DEVELOPMENT AND SUPPORT-ELEMENTARY, SECONDARY EDUCATION

45.127 Promotion of the Humanities—Elementary and Secondary Education Program (B)
84.003 Bilingual Education (B,C)
84.014 Follow Through (B)
84.018 Teacher Exchange (B)
84.047 Upward Bound (B)
84.116 Fund for the Improvement of Postsecondary Education (B)
84.121 Vocational Education—State Planning and Evaluation (A)
84.143 Emergency School Aid Act—Evaluation Contracts (C)
84.144 Migrant Education—Interstate and Intrastate Coordination Program (B)
84.145 Federal Real Property Assistance Program (H)
84.146 Transition Program for Refugee Children (A,C)
84.149 Migrant Education—College Assistance Migrant Program (B)
84.151 Education Consolidation and Improvement Programs—Chapter 2 (A)
84.152 Neglected or Delinquent Transition Services (B)

RESOURCE DEVELOPMENT AND SUPPORT-GENERAL AND SPECIAL INTEREST ORGANIZATIONS

13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.600 Administration for Children, Youth and Families—Head Start (B)
13.628 Child Abuse and Neglect Prevention and Treatment (A,B)
13.648 Child Welfare Services Training Grants (B)
13.824 Area Health Education Centers (B)
13.974 Family Planning Services Delivery Improvement Research Grants (B)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.983 Health Facility Energy Cost Management (K,L)
15.144 Indian Child Welfare Act—Title II Grants (B)
45.002 Promotion of the Arts—Dance (B,C)
45.003 Promotion of the Arts—Artists-in-Education (B)
45.004 Promotion of the Arts—Literature (B)
45.005 Promotion of the Arts—Music (B,C)
45.006 Promotion of the Arts—Media Arts: Film/Radio/Television (B)
45.007 Promotion of the Arts—State Programs/Partnership Coordination (A,B,K)
45.008 Promotion of the Arts—Theatre (B)
45.009 Promotion of the Arts—Visual Arts (B)
45.011 Promotion of the Arts—Inter-Arts (B)
45.014 Promotion of the Arts—Opera and Musical Theatre (B)
45.015 Promotion of the Arts—Folk Arts (B)
45.020 Promotion of the Arts—National Endowment Fellowship Program (B)
45.104 Promotion of the Humanities—Media Humanities Projects (B)
45.113 Promotion of the Humanities—Program Development (B)
45.115 Promotion of the Humanities—Youthgrants (B)
45.123 Promotion of the Humanities—Consultant Grant Program (B)
45.124 Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B)
45.125 Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations (B)
45.137 Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B)
45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B)
45.146 Promotion of the Humanities—Research Materials/Editions (B)
45.147 Promotion of the Humanities—Research Materials/Translations (B)
45.301 Institute of Museum Services (D)
47.036 Intergovernmental and Public Service Science and Technology Program (B)
47.059 Visiting Professorships for Women in Science and Engineering (B)
72.010 Mini-Grant Program (B)
81.023 Information Services—Exhibits, Public Speakers, and Publications (L)
81.050 Energy Extension Service (A)
83.404 Academy Planning Assistance (B)
84.002 Adult Education—State-Administered Program (A)
84.004 Civil Rights Technical Assistance and Training (B)
84.010 Educationally Deprived Children—Local Educational Agencies (A)
84.011 Migrant Education—Basic State Formula Grant Program (A)
84.012 Educationally Deprived Children—State Administration (A)
84.013 Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (A)
84.026 Handicapped Media Services and Captioned Films (B,C)
84.066 Educational Opportunity Centers (B)
84.067 Use of Technology in Basic Skills Instruction (B)
84.073 National Diffusion Network (B,K,L)
84.083 Women's Educational Equity (B)
84.094 Graduate and Professional Study (B)
84.100 Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C)
84.103 Training for Special Programs Staff and Leadership Personnel (B)
84.116 Fund for the Improvement of Postsecondary Education (B)
84.121 Vocational Education—State Planning and Evaluation (A)
84.141 Migrant Education—High School Equivalency Program (B)
84.144 Migrant Education—Interstate and Intrastate Coordination Program (B)
84.145 Federal Real Property Assistance Program (H)
84.151 Education Consolidation and Improvement Programs—Chapter 2 (A)
85.001 Harry S. Truman Scholarship Program (C)

RESOURCE DEVELOPMENT AND SUPPORT-HIGHER EDUCATION

13.397 Cancer Centers Support (B)
13.824 Area Health Education Centers (B)
13.964 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (B)
13.984 Grants for Establishment of Departments of Family Medicine (B)
16.603 Corrections—Technical Assistance (B,J,L)
20.002 Coast Guard Cooperative Marine Sciences Program (I)
45.111 Promotion of the Humanities—Higher Education/Regional and National Grants (B)
45.122 Promotion of the Humanities—Fellowships at Centers for Advanced Study (B)
45.138 Promotion of the Humanities—Education Pilot Grants (B)
45.139 Promotion of the Humanities—Education Implementation Grants (B)
45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B)
45.146 Promotion of the Humanities—Research Materials/Editions (B)
45.147 Promotion of the Humanities—Research Materials/Translations (B)
47.009 Scientific Personnel Improvement (B)
47.053 Scientific, Technological, and International Affairs (B)
47.055 Two-Year and Four-Year College Research Instrumentation (B)
47.059 Visiting Professorships for Women in Science and Engineering (B)
64.120 Post-Vietnam Era Veterans' Educational Assistance (C)
72.005 National Center for Service-Learning (B,J,K,L,M)
81.004 University-Laboratory Cooperative Program (B,I)
81.007 Teacher Development Projects in Energy (B,M)

81.022 Used Energy-Related Laboratory Equipment Grants (H)
81.029 Uranium Industry Seminars (L)
81.049 Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B)
84.031 Higher Education—Strengthening Developing Institutions (B)
84.036 Library Career Training (B)
84.046 Continuing Education Outreach—State Administered Program (A)
84.055 Higher Education—Cooperative Education (B)
84.069 Grants to States for State Student Incentives (A)
84.091 Strengthening Research Library Resources (B)
84.094 Graduate and Professional Study (B)
84.120 Minority Institutions Science Improvement Program (B)
84.121 Vocational Education—State Planning and Evaluation (A)
84.135 Aid to Land-Grant Colleges (B)
84.136 Legal Training for the Disadvantaged (B)
84.141 Migrant Education—High School Equivalency Program (B)
84.142 Housing for Educational Institutions (E)
84.145 Federal Real Property Assistance Program (H)
85.001 Harry S. Truman Scholarship Program (C)

**RESOURCE DEVELOPMENT AND SUPPORT-LAND AND EQUIPMENT**

11.423 Coastal Energy Impact Program—Loans and Guarantees (E)
12.001 Industrial Equipment Loans to Educational Institutions (I)
13.676 Surplus Property Utilization (H)
23.012 Appalachian Vocational and Other Education Facilities and Operations (B)
84.145 Federal Real Property Assistance Program (H)

**RESOURCE DEVELOPMENT AND SUPPORT-SCHOOL AID**

13.381 Health Professions—Financial Distress Grants (B)
84.145 Federal Real Property Assistance Program (H)
84.151 Education Consolidation and Improvement Programs—Chapter 2 (A)
84.152 Neglected or Delinquent Transition Services (B)

**RESOURCE DEVELOPMENT AND SUPPORT-SCIENCES**

13.371 Biotechnology Research (B)
13.375 Minority Biomedical Research Support (B)
13.398 Cancer Research Manpower (B)
47.055 Two-Year and Four-Year College Research Instrumentation (B)
84.145 Federal Real Property Assistance Program (H)
84.151 Education Consolidation and Improvement Programs—Chapter 2 (A)

**RESOURCE DEVELOPMENT AND SUPPORT-STUDENT FINANCIAL AID**

13.108 Health Education Assistance Loans (F)
45.109 Promotion of the Humanities—Fellowships for Journalists (B)
45.135 Promotion of the Humanities—Youth Projects (B)
45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B)
45.146 Promotion of the Humanities—Research Materials/Editions (B)
45.147 Promotion of the Humanities—Research Materials/Translations (B)
64.120 Post-Vietnam Era Veterans' Educational Assistance (C)
84.019 Fulbright-Hays Training Grants—Faculty Research Abroad (B)
84.020 Fulbright-Hays Training Grants—Foreign Curriculum Consultants (B,J)
84.021 Fulbright-Hays Training Grants—Group Projects Abroad (B)
84.120 Minority Institutions Science Improvement Program (B)
84.145 Federal Real Property Assistance Program (H)
85.001 Harry S. Truman Scholarship Program (C)

**RESOURCE DEVELOPMENT AND SUPPORT-VOCATIONAL EDUCATION AND HANDICAPPED EDUCATION**

23.012 Appalachian Vocational and Other Education Facilities and Operations (B)
84.026 Handicapped Media Services and Captioned Films (B,C)
84.028 Handicapped Regional Resource Centers (B)
84.029 Handicapped Personnel Preparation (B)
84.030 Handicapped Teacher Recruitment and Information (B)
84.050 Vocational Education—Program Improvement and Supportive Service (A)
84.051 Vocational Education—Program Improvement Projects (B)
84.053 Vocational Education—State Advisory Councils (A)
84.067 Use of Technology in Basic Skills Instruction (B)
84.086 Innovative Programs for Severely Handicapped Children (B)
84.132 Centers for Independent Living (B)

**TEACHER TRAINING**

11.417 Sea Grant Support (B)
13.358 Professional Nurse Traineeships (B)
13.810 Assistance Payments—State and Local Training (A)
13.880 Minority Access to Research Careers (B)
13.895 Grants for Faculty Development in Family Medicine (B)
43.001 Aerospace Education Services Project (L)
45.109 Promotion of the Humanities—Fellowships for Journalists (B)
45.111 Promotion of the Humanities—Higher Education/Regional and National Grants (B)
45.116 Promotion of the Humanities—Summer Seminars for College Teachers (B)
45.127 Promotion of the Humanities—Elementary and Secondary Education Program (B)
45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B)
45.146 Promotion of the Humanities—Research Materials/Editions (B)
45.147 Promotion of the Humanities—Research Materials/Translations (B)
47.009 Scientific Personnel Improvement (B)
81.004 University-Laboratory Cooperative Program (B,I)
81.007 Teacher Development Projects in Energy (B,M)
83.400 Emergency Management Institute—Student Expense Program (B,M)
84.003 Bilingual Education (B,C)
84.004 Civil Rights Technical Assistance and Training (B)
84.009 Program for Education of Handicapped Children in State Operated or Supported Schools (A)
84.014 Follow Through (B)
84.017 International Research and Studies (B)
84.018 Teacher Exchange (B)
84.025 Handicapped Innovative Programs—Deaf-Blind Centers (B)
84.026 Handicapped Media Services and Captioned Films (B,C)
84.029 Handicapped Personnel Preparation (B)
84.030 Handicapped Teacher Recruitment and Information (B)
84.031 Higher Education—Strengthening Developing Institutions (B)
84.037 National Defense/Direct Student Loan Cancellations (C,D)
84.049 Vocational Education—Consumer and Homemaking Education (A)
84.051 Vocational Education—Program Improvement Projects (B)
84.073 National Diffusion Network (B,K,L)
84.099 Bilingual Vocational Instructor Training (B,C)
84.124 Territorial Teacher Training Assistance Program (B)
84.148 Allen J. Ellender Fellowship Program (B)
84.151 Education Consolidation and Improvement Programs—Chapter 2 (A)

**VOCATIONAL DEVELOPMENT**

12.606 Selected Reserve Educational Assistance Program (C)
13.665 Community Services Block Grant (A)
13.824 Area Health Education Centers (B)
17.232 Comprehensive Employment and Training Programs (A,B)
20.810 Supplementary Training (M)

| | |
|---|---|
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 64.111 | Veterans Educational Assistance (C) |
| 64.116 | Vocational Rehabilitation for Disabled Veterans (D,E) |
| 64.120 | Post-Vietnam Era Veterans' Educational Assistance (C) |
| 84.044 | Talent Search (B) |
| 84.047 | Upward Bound (B) |
| 84.048 | Vocational Education—Basic Grants to States (A) |
| 84.049 | Vocational Education—Consumer and Homemaking Education (A) |
| 84.050 | Vocational Education—Program Improvement and Supportive Service (A) |
| 84.051 | Vocational Education—Program Improvement Projects (B) |
| 84.052 | Vocational Education—Special Programs for the Disadvantaged (A) |
| 84.053 | Vocational Education—State Advisory Councils (A) |
| 84.063 | Pell Grant Program (C) |
| 84.077 | Bilingual Vocational Training (B,C) |
| 84.078 | Regional Education Programs for Deaf and Other Handicapped Persons (B) |
| 84.086 | Innovative Programs for Severely Handicapped Children (B) |
| 84.099 | Bilingual Vocational Instructor Training (B,C) |
| 84.100 | Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C) |
| 84.116 | Fund for the Improvement of Postsecondary Education (B) |
| 84.121 | Vocational Education—State Planning and Evaluation (A) |
| 84.132 | Centers for Independent Living (B) |
| 84.136 | Legal Training for the Disadvantaged (B) |
| 84.141 | Migrant Education—High School Equivalency Program (B) |
| 84.145 | Federal Real Property Assistance Program (H) |
| 84.149 | Migrant Education—College Assistance Migrant Program (B) |

## EMPLOYMENT, LABOR, AND TRAINING

### PLANNING, RESEARCH, AND DEMONSTRATION

| | |
|---|---|
| 11.305 | Economic Development—State and Local Economic Development Planning (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 13.646 | Work Incentive Program (A) |
| 13.817 | Entrant Assistance—Cuban and Haitian Entrants (D) |
| 15.108 | Indian Employment Assistance (B,K) |
| 16.601 | Corrections—Training and Staff Development (B,J,L,M) |
| 17.100 | Labor-Management Relations Services (K,L) |
| 17.203 | Certification for Immigrant Workers (J) |
| 17.207 | Employment Service (A,J,K) |
| 17.233 | Employment and Training Research and Development Projects (B) |
| 17.235 | Senior Community Service Employment Program (A,B) |
| 17.243 | Special National Programs and Activities for the Disadvantaged (B) |
| 53.001 | Handicapped Employment Promotion (K,L) |
| 59.026 | Service Corps of Retired Executives and Active Corps of Executives (K) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |
| 84.128 | Rehabilitation Services—Special Projects (B) |

### PROGRAM DEVELOPMENT

| | |
|---|---|
| 11.303 | Economic Development—Technical Assistance (B) |
| 11.305 | Economic Development—State and Local Economic Development Planning (B) |
| 11.306 | Economic Development—District Operational Assistance (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 13.358 | Professional Nurse Traineeships (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.662 | Native American Programs—Training and Technical Assistance (B) |
| 13.817 | Entrant Assistance—Cuban and Haitian Entrants (D) |
| 13.880 | Minority Access to Research Careers (B) |
| 16.601 | Corrections—Training and Staff Development (B,J,L,M) |
| 16.603 | Corrections—Technical Assistance (B,J,L) |
| 17.201 | Apprenticeship Training (K) |
| 17.233 | Employment and Training Research and Development Projects (B) |
| 84.002 | Adult Education—State-Administered Program (A) |
| 84.126 | Rehabilitation Services—Basic Support (A) |
| 84.128 | Rehabilitation Services—Special Projects (B) |
| 84.129 | Rehabilitation Training (B) |

### JOB TRAINING, EMPLOYMENT

| | |
|---|---|
| 10.422 | Business and Industrial Loans (F) |
| 10.663 | Young Adult Conservation Corps—Grants to States (B) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.301 | Economic Development—Business Development Assistance (E,F) |
| 11.302 | Economic Development—Support for Planning Organizations (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 13.244 | Mental Health Clinical or Service Related Training Grants (B) |
| 13.263 | Occupational Safety and Health—Training Grants (B) |
| 13.271 | Alcohol Research Scientist Development and Research Scientist Awards (B) |
| 13.274 | Alcohol Clinical or Service Related Training Programs (B) |
| 13.280 | Drug Abuse Clinical or Service Related Training Programs (B) |
| 13.283 | Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M) |
| 13.358 | Professional Nurse Traineeships (B) |
| 13.375 | Minority Biomedical Research Support (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.646 | Work Incentive Program (A) |
| 13.648 | Child Welfare Services Training Grants (B) |
| 13.665 | Community Services Block Grant (A) |
| 13.802 | Social Security—Disability Insurance (D) |
| 13.880 | Minority Access to Research Careers (B) |
| 14.229 | Community Development Block Grants/Secretary's Discretionary Fund (B,C) |
| 15.108 | Indian Employment Assistance (B,K) |
| 15.144 | Indian Child Welfare Act—Title II Grants (B) |
| 16.004 | Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M) |
| 16.601 | Corrections—Training and Staff Development (B,J,L,M) |
| 17.201 | Apprenticeship Training (K) |
| 17.207 | Employment Service (A,J,K) |
| 17.230 | Migrant and Seasonal Farmworkers (A,B) |
| 17.232 | Comprehensive Employment and Training Programs (A,B) |
| 17.234 | Employment and Training—Indians and Native Americans (A,B) |
| 17.235 | Senior Community Service Employment Program (A,B) |
| 17.243 | Special National Programs and Activities for the Disadvantaged (B) |
| 17.245 | Trade Adjustment Assistance—Workers (D,J) |
| 17.801 | Disabled Veterans Outreach Program (B) |
| 20.215 | Highway Training and Education (M) |
| 20.216 | Highway Educational Grants (B,M) |
| 20.303 | Grants-in-Aid for Railroad Safety—State Participation (B) |
| 20.806 | State Marine Schools (C,I) |

| | |
|---|---|
| 20.807 | U.S. Merchant Marine Academy (M) |
| 20.810 | Supplementary Training (M) |
| 21.052 | Alcohol, Tobacco, and Firearms—Training Assistance (M) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 45.020 | Promotion of the Arts—National Endowment Fellowship Program (B) |
| 45.143 | Promotion of the Humanities—Fellowships for College Teachers (B) |
| 53.001 | Handicapped Employment Promotion (K,L) |
| 57.002 | Benefits for Milwaukee Railroad Workers (D,J) |
| 60.007 | Museums—Assistance and Advice (B,K,L,M) |
| 64.111 | Veterans Educational Assistance (C) |
| 64.115 | Veterans Information and Assistance (K) |
| 64.116 | Vocational Rehabilitation for Disabled Veterans (D,E) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |
| 83.403 | Training and Education Field Deployment (A,B,M) |
| 83.511 | State Radiological Defense Officers (B,J) |
| 84.002 | Adult Education—State-Administered Program (A) |
| 84.101 | Vocational Education—Program for Indian Tribes and Indian Organizations (B) |
| 84.126 | Rehabilitation Services—Basic Support (A) |
| 84.128 | Rehabilitation Services—Special Projects (B) |
| 84.129 | Rehabilitation Training (B) |

## FEDERAL EMPLOYMENT

| | |
|---|---|
| 19.202 | Special Domestic Assignments (J) |
| 27.001 | Federal Civil Service Employment (O) |
| 27.002 | Federal Employment Assistance for Veterans (O) |
| 27.003 | Federal Employment for Disadvantaged Youth—Part-Time (O) |
| 27.004 | Federal Employment for Disadvantaged Youth—Summer (O) |
| 27.005 | Federal Employment for the Handicapped (O) |
| 27.006 | Federal Summer Employment (O) |
| 27.008 | Intergovernmental Cooperation in Recruiting and Examining (J) |
| 27.011 | Intergovernmental Mobility of Federal, State, and Local Employees (J,K) |
| 27.013 | Presidential Management Intern Program (J,O) |
| 85.001 | Harry S. Truman Scholarship Program (C) |

## BONDING AND CERTIFICATION

| | |
|---|---|
| 17.103 | Pension and Welfare Benefit Programs (L) |
| 17.202 | Certification of Foreign Workers for Temporary Agricultural and Logging Employment (J,N) |
| 17.203 | Certification for Immigrant Workers (J) |
| 17.308 | Farm Labor Contractor Registration (K,N) |
| 17.800 | Exemplary Rehabilitation Certificates (J) |

## EQUAL EMPLOYMENT OPPORTUNITY

| | |
|---|---|
| 13.646 | Work Incentive Program (A) |
| 15.108 | Indian Employment Assistance (B,K) |
| 15.144 | Indian Child Welfare Act—Title II Grants (B) |
| 17.207 | Employment Service (A,J,K) |
| 17.301 | Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N) |
| 17.700 | Women's Special Employment Assistance (K,L) |
| 27.001 | Federal Civil Service Employment (O) |
| 29.001 | Clearinghouse Services, Civil Rights Discrimination Complaints (L) |
| 30.001 | Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (N) |
| 30.002 | Employment Discrimination—State and Local Anti-Discrimination Agency Contracts (C) |
| 30.005 | Employment Discrimination—Private Bar Program (J) |
| 30.008 | Employment Discrimination—Age Discrimination in Employment (K,N) |
| 30.009 | Employment Discrimination Project Contracts—Indian Tribes (B) |
| 30.010 | Employment Discrimination—Equal Pay Act (K,N) |
| 53.001 | Handicapped Employment Promotion (K,L) |

## ASSISTANCE AND SERVICES FOR THE UNEMPLOYED

| | |
|---|---|
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 13.646 | Work Incentive Program (A) |
| 13.665 | Community Services Block Grant (A) |
| 13.806 | Special Benefits for Disabled Coal Miners (D) |
| 13.817 | Entrant Assistance—Cuban and Haitian Entrants (D) |
| 15.108 | Indian Employment Assistance (B,K) |
| 17.102 | Veterans Reemployment Rights (K,L,N) |
| 17.207 | Employment Service (A,J,K) |
| 17.225 | Unemployment Insurance (A,D) |
| 17.243 | Special National Programs and Activities for the Disadvantaged (B) |
| 17.245 | Trade Adjustment Assistance—Workers (D,J) |
| 17.301 | Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N) |
| 17.302 | Longshoremen's and Harbor Workers' Compensation (D) |
| 27.001 | Federal Civil Service Employment (O) |
| 27.002 | Federal Employment Assistance for Veterans (O) |
| 27.003 | Federal Employment for Disadvantaged Youth—Part-Time (O) |
| 27.004 | Federal Employment for Disadvantaged Youth—Summer (O) |
| 27.005 | Federal Employment for the Handicapped (O) |
| 27.006 | Federal Summer Employment (O) |
| 53.001 | Handicapped Employment Promotion (K,L) |
| 57.001 | Social Insurance for Railroad Workers (D) |
| 57.002 | Benefits for Milwaukee Railroad Workers (D,J) |
| 64.115 | Veterans Information and Assistance (K) |

## ASSISTANCE TO STATE AND LOCAL GOVERNMENTS

| | |
|---|---|
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.305 | Economic Development—State and Local Economic Development Planning (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 12.600 | Community Economic Adjustment (J,K) |
| 13.665 | Community Services Block Grant (A) |
| 14.229 | Community Development Block Grants/Secretary's Discretionary Fund (B,C) |
| 17.232 | Comprehensive Employment and Training Programs (A,B) |
| 19.202 | Special Domestic Assignments (J) |
| 27.008 | Intergovernmental Cooperation in Recruiting and Examining (J) |
| 27.009 | Training Assistance to State and Local Governments (K,L,M) |
| 27.011 | Intergovernmental Mobility of Federal, State, and Local Employees (J,K) |
| 27.013 | Presidential Management Intern Program (J,O) |
| 83.403 | Training and Education Field Deployment (A,B,M) |
| 83.511 | State Radiological Defense Officers (B,J) |

## STATISTICAL

| | |
|---|---|
| 17.002 | Labor Force Statistics (L) |
| 17.003 | Prices and Cost of Living Data (L) |
| 17.004 | Productivity and Technology Data (L) |
| 17.005 | Wages and Industrial Relations Data (L) |
| 17.006 | Economic Growth Data (L) |

## LABOR MANAGEMENT SERVICES

| | |
|---|---|
| 17.100 | Labor-Management Relations Services (K,L) |
| 17.101 | Labor Organization Reports (K,L,N) |

| | |
|---|---|
| 17.102 | Veterans Reemployment Rights (K,L,N) |
| 17.103 | Pension and Welfare Benefit Programs (L) |
| 17.303 | Minimum Wage and Hour Standards (K,N) |
| 17.308 | Farm Labor Contractor Registration (K,N) |
| 19.202 | Special Domestic Assignments (J) |
| 34.001 | Labor Mediation and Conciliation (J,K) |
| 34.002 | Labor—Management Cooperation (B) |
| 46.001 | Labor-Management Relations (J,N) |
| 66.438 | Construction Management Assistance Grants (A) |

### FACILITIES, PLANNING, CONSTRUCTION, AND EQUIPMENT

| | |
|---|---|
| 10.407 | Farm Ownership Loans (F) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 84.126 | Rehabilitation Services—Basic Support (A) |
| 84.128 | Rehabilitation Services—Special Projects (B) |

## ENERGY

### CONSERVATION

| | |
|---|---|
| 11.425 | Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) |
| 13.224 | Community Health Centers (B) |
| 13.246 | Migrant Health Centers Grants (B) |
| 13.256 | Health Maintenance Organizations (B,E,F) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 20.216 | Highway Educational Grants (B,M) |
| 20.510 | Urban Mass Transportation Planning Methods Research and Development (B,L,M) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |
| 72.002 | Retired Senior Volunteer Program (B) |
| 72.003 | Volunteers in Service to America (J) |
| 72.011 | State Office of Voluntary Citizen Participation (B) |
| 81.007 | Teacher Development Projects in Energy (B,M) |
| 81.041 | State Energy Conservation (A) |
| 81.042 | Weatherization Assistance for Low-Income Persons (B) |
| 81.043 | Supplemental State Energy Conservation (A) |
| 81.048 | Priorities and Allocations for Energy Programs and Projects (J,M) |
| 81.050 | Energy Extension Service (A) |
| 81.051 | Appropriate Energy Technology (B) |
| 81.052 | Energy Conservation for Institutional Buildings (A) |
| 81.056 | Coal Loan Guarantees (F) |
| 81.057 | University Coal Research (B) |
| 81.058 | Geothermal Loan Guarantees (F) |
| 81.060 | Electric and Hybrid Vehicle Loan Guaranties (F) |
| 81.062 | National Clubs, Organizations and Associations Energy Awareness Projects (K,L) |
| 81.065 | Research and Development Nuclear Energy Programs (B,C) |
| 81.074 | Alcohol Fuels Loan Guarantees (F) |
| 84.002 | Adult Education—State-Administered Program (A) |
| 84.034 | Public Library Services (A) |
| 84.040 | School Assistance in Federally Affected Areas—Construction (B) |
| 84.048 | Vocational Education—Basic Grants to States (A) |
| 84.142 | Housing for Educational Institutions (E) |

### RESEARCH AND DEVELOPMENT

| | |
|---|---|
| 11.422 | Coastal Energy Impact Program—Planning Grants (B) |
| 11.425 | Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) |
| 14.506 | General Research and Technology Activity (B) |
| 23.011 | Appalachian State Research, Technical Assistance, and Demonstration Projects (B) |
| 81.049 | Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) |
| 81.056 | Coal Loan Guarantees (F) |
| 81.057 | University Coal Research (B) |
| 81.058 | Geothermal Loan Guarantees (F) |
| 81.060 | Electric and Hybrid Vehicle Loan Guaranties (F) |
| 81.065 | Research and Development Nuclear Energy Programs (B,C) |
| 81.074 | Alcohol Fuels Loan Guarantees (F) |

### EDUCATION AND TRAINING

| | |
|---|---|
| 13.662 | Native American Programs—Training and Technical Assistance (B) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 77.003 | Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B) |
| 81.004 | University-Laboratory Cooperative Program (B,I) |
| 81.007 | Teacher Development Projects in Energy (B,M) |
| 81.011 | University Reactor Sharing and Fuel Assistance (B,H) |
| 81.022 | Used Energy-Related Laboratory Equipment Grants (H) |
| 81.029 | Uranium Industry Seminars (L) |
| 81.050 | Energy Extension Service (A) |
| 81.057 | University Coal Research (B) |
| 81.075 | Energy Graduate Traineeship Program (B) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |
| 84.121 | Vocational Education—State Planning and Evaluation (A) |

### FACILITIES AND EQUIPMENT

| | |
|---|---|
| 59.030 | Small Business Energy Loans (E,F) |
| 64.114 | Veterans Housing—Guaranteed and Insured Loans (F) |
| 81.004 | University-Laboratory Cooperative Program (B,I) |
| 81.011 | University Reactor Sharing and Fuel Assistance (B,H) |
| 81.022 | Used Energy-Related Laboratory Equipment Grants (H) |
| 81.058 | Geothermal Loan Guarantees (F) |

### SPECIALIZED TECHNICAL SERVICES

| | |
|---|---|
| 10.430 | Energy Impacted Area Development Assistance Program (B) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 81.003 | Granting of Patent Licenses (L) |
| 81.011 | University Reactor Sharing and Fuel Assistance (B,H) |
| 81.022 | Used Energy-Related Laboratory Equipment Grants (H) |
| 81.028 | Radiological Emergency Assistance (J,K,L) |
| 81.041 | State Energy Conservation (A) |
| 81.042 | Weatherization Assistance for Low-Income Persons (B) |
| 81.043 | Supplemental State Energy Conservation (A) |
| 81.048 | Priorities and Allocations for Energy Programs and Projects (J,M) |
| 81.050 | Energy Extension Service (A) |
| 81.056 | Coal Loan Guarantees (F) |
| 81.057 | University Coal Research (B) |
| 81.058 | Geothermal Loan Guarantees (F) |
| 81.060 | Electric and Hybrid Vehicle Loan Guaranties (F) |
| 81.062 | National Clubs, Organizations and Associations Energy Awareness Projects (K,L) |

### GENERAL INFORMATION SERVICES

| | |
|---|---|
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 81.002 | Motion Picture Film Libraries (L) |
| 81.003 | Granting of Patent Licenses (L) |
| 81.023 | Information Services—Exhibits, Public Speakers, and Publications (L) |
| 81.028 | Radiological Emergency Assistance (J,K,L) |
| 81.029 | Uranium Industry Seminars (L) |

| | |
|---|---|
| 81.036 | Energy-Related Inventions (B,I,K,L) |
| 81.039 | National Energy Information Center (L) |
| 81.062 | National Clubs, Organizations and Associations Energy Awareness Projects (K,L) |
| 81.064 | DOE Technical Information Center (L) |

## ENVIRONMENTAL QUALITY

### WATER POLLUTION CONTROL

| | |
|---|---|
| 10.068 | Rural Clean Water Program (C) |
| 10.416 | Soil and Water Loans (F) |
| 10.419 | Watershed Protection and Flood Prevention Loans (F) |
| 10.421 | Indian Tribes and Tribal Corporation Loans (F) |
| 10.901 | Resource Conservation and Development (B,K) |
| 10.910 | Rural Abandoned Mine Program (C,K) |
| 11.419 | Coastal Zone Management Program Administration (B) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.424 | Coastal Energy Impact Program—Environmental Grants (B) |
| 12.100 | Aquatic Plant Control (J,L) |
| 12.101 | Beach Erosion Control Projects (J) |
| 15.252 | Abandoned Mine Land Reclamation (AMLR) Program (A,B) |
| 66.418 | Construction Grants for Wastewater Treatment Works (B) |
| 66.419 | Water Pollution Control—State and Interstate Program Grants (A) |
| 66.423 | Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications (M) |
| 66.425 | Drinking Water Supply—Technical Assistance (K,L) |
| 66.426 | Water Pollution Control—State and Areawide Water Quality Management Planning (B) |
| 66.432 | State Public Water System Supervision Program Grants (B) |
| 66.433 | State Underground Water Source Protection—Program Grants (B) |
| 66.438 | Construction Management Assistance Grants (A) |
| 66.505 | Water Pollution Control—Research, Development, and Demonstration Grants (B) |
| 66.506 | Safe Drinking Water Research and Demonstration Grants (B) |
| 66.600 | Environmental Protection Consolidated Grants—Program Support (A) |
| 66.603 | Loan Guarantees for Construction of Treatment Works (F) |

### AIR POLLUTION CONTROL

| | |
|---|---|
| 10.910 | Rural Abandoned Mine Program (C,K) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.428 | Intergovernmental Climate—Demonstration Project (B) |
| 13.892 | Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) |
| 15.252 | Abandoned Mine Land Reclamation (AMLR) Program (A,B) |
| 66.001 | Air Pollution Control Program Grants (B) |
| 66.003 | Air Pollution Control Manpower Training Grants (B) |
| 66.006 | Air Pollution Control—Technical Training (M) |
| 66.007 | Air Pollution Control—National Ambient Air and Source Emission Data (J) |
| 66.008 | Air Pollution Control—Technical Assistance (J,K,L) |
| 66.009 | Air Pollution Control—Technical Information Services (L) |
| 66.501 | Air Pollution Control Research Grants (B) |
| 66.600 | Environmental Protection Consolidated Grants—Program Support (A) |

### SOLID WASTE MANAGEMENT

| | |
|---|---|
| 10.418 | Water and Waste Disposal Systems for Rural Communities (B,E) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 11.424 | Coastal Energy Impact Program—Environmental Grants (B) |
| 11.426 | Financial Assistance for Marine Pollution Research (B) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 66.418 | Construction Grants for Wastewater Treatment Works (B) |
| 66.451 | Hazardous Waste Management Financial Assistance to States (A) |
| 66.504 | Solid Waste Disposal Research Grants (B) |
| 66.506 | Safe Drinking Water Research and Demonstration Grants (B) |
| 66.507 | Toxic Substances Research Grants (B) |
| 66.600 | Environmental Protection Consolidated Grants—Program Support (A) |

### PESTICIDES CONTROL

| | |
|---|---|
| 10.025 | Plant and Animal Disease and Pest Control (J,L) |
| 10.053 | Dairy Indemnity Payments (D) |
| 15.607 | Environmental Contaminant Evaluation (K,L,M) |
| 66.501 | Air Pollution Control Research Grants (B) |
| 66.502 | Pesticides Control Research Grants (B) |
| 66.700 | Pesticides Enforcement Program Grants (B) |

### RADIATION CONTROL

| | |
|---|---|
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.424 | Coastal Energy Impact Program—Environmental Grants (B) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |
| 83.508 | Radiological Systems Maintenance (B,J) |
| 83.510 | Radiation Shielding Design (K) |

### RESEARCH, EDUCATION, TRAINING

| | |
|---|---|
| 10.207 | Animal Health and Disease Research (A) |
| 11.428 | Intergovernmental Climate—Demonstration Project (B) |
| 13.892 | Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B) |
| 13.893 | Mechanisms of Environmental Diseases and Disorders (B) |
| 13.894 | Environmental Health Research and Manpower Development Resources (B) |
| 15.217 | Cooperative Agreements With Interpretive Associations (I) |
| 65.001 | Water Resources Planning (A) |
| 66.001 | Air Pollution Control Program Grants (B) |
| 66.003 | Air Pollution Control Manpower Training Grants (B) |
| 66.419 | Water Pollution Control—State and Interstate Program Grants (A) |
| 66.423 | Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications (M) |
| 66.500 | Environmental Protection—Consolidated Research Grants (B) |
| 66.501 | Air Pollution Control Research Grants (B) |
| 66.502 | Pesticides Control Research Grants (B) |
| 66.504 | Solid Waste Disposal Research Grants (B) |
| 66.505 | Water Pollution Control—Research, Development, and Demonstration Grants (B) |
| 66.506 | Safe Drinking Water Research and Demonstration Grants (B) |
| 66.507 | Toxic Substances Research Grants (B) |
| 81.007 | Teacher Development Projects in Energy (B,M) |

## FOOD AND NUTRITION

### FOOD AND NUTRITION FOR CHILDREN

| | |
|---|---|
| 10.550 | Food Distribution (A,H) |
| 10.551 | Food Stamps (C) |
| 10.553 | School Breakfast Program (A) |
| 10.555 | National School Lunch Program (A) |
| 10.556 | Special Milk Program for Children (A) |
| 10.557 | Special Supplemental Food Program for Women, Infants, and Children (A) |
| 10.558 | Child Care Food Program (A,H) |
| 10.559 | Summer Food Service Program for Children (A) |
| 10.560 | State Administrative Expenses for Child Nutrition (A) |
| 10.564 | Nutrition Education and Training Program (A) |
| 10.565 | Commodity Supplemental Food Program (A,B,H) |
| 13.635 | Special Programs for the Aging—Title III, Part C—Nutrition Services (A) |

23.004 Appalachian Health Programs (B)
23.013 Appalachian Child Development (B)

### FOOD AND NUTRITION FOR INDIVIDUALS AND FAMILIES

10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)
10.477 Meat and Poultry Inspection (J)
10.550 Food Distribution (A,H)
10.565 Commodity Supplemental Food Program (A,B,H)
11.413 Fishery Products Inspection and Certification (J)
13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services (A)
13.665 Community Services Block Grant (A)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.824 Area Health Education Centers (B)
14.170 Congregate Housing Services Program (B)
23.004 Appalachian Health Programs (B)
84.049 Vocational Education—Consumer and Homemaking Education (A)

### FOOD INSPECTION

10.551 Food Stamps (C)
10.557 Special Supplemental Food Program for Women, Infants, and Children (A)
10.561 State Administrative Matching Grants for Food Stamp Program (A)
13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services (A)
23.004 Appalachian Health Programs (B)
84.049 Vocational Education—Consumer and Homemaking Education (A)

### RESEARCH

10.207 Animal Health and Disease Research (A)
10.500 Cooperative Extension Service (A)
13.103 Food and Drug Administration—Research (B)
13.848 Digestive Diseases and Nutrition Research (B)
13.878 Soft Tissue Stomatology and Nutrition Research (B)
23.004 Appalachian Health Programs (B)
84.040 School Assistance in Federally Affected Areas—Construction (B)

## HEALTH

### ALCOHOLISM, DRUG ABUSE AND MENTAL HEALTH-GENERAL

13.271 Alcohol Research Scientist Development and Research Scientist Awards (B)
13.274 Alcohol Clinical or Service Related Training Programs (B)
13.280 Drug Abuse Clinical or Service Related Training Programs (B)
13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A)
64.019 Veterans Rehabilitation—Alcohol and Drug Dependence (J)

### ALCOHOLISM, DRUG ABUSE AND MENTAL HEALTH-LAW ENFORCEMENT

16.001 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L)
16.002 Law Enforcement Assistance—Narcotics and Dangerous Drugs—State Legislation (K)
16.003 Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L)
16.004 Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M)

### ALCOHOLISM, DRUG ABUSE AND MENTAL HEALTH-PLANNING

13.242 Mental Health Research Grants (B)
13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L)
13.613 Mental Retardation—President's Committee on Mental Retardation (L)
16.005 Public Education on Drug Abuse—Information (K)

### ALCOHOLISM, DRUG ABUSE AND MENTAL HEALTH-RESEARCH

13.242 Mental Health Research Grants (B)
13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L)
13.244 Mental Health Clinical or Service Related Training Grants (B)
13.262 Occupational Safety and Health Research Grants (B)
13.271 Alcohol Research Scientist Development and Research Scientist Awards (B)
13.272 Alcohol National Research Service Awards for Research Training (B)
13.273 Alcohol Research Programs (B)
13.274 Alcohol Clinical or Service Related Training Programs (B)
13.277 Drug Abuse Research Scientist Development and Research Scientist Awards (B)
13.278 Drug Abuse National Research Service Awards for Research Training (B)
13.279 Drug Abuse Research Programs (B)
13.281 Mental Health Research Scientist Development and Research Scientist Awards (B)
13.282 Mental Health National Research Service Awards for Research Training (B)
13.891 Alcohol Research Center Grants (B)

### COMMUNICABLE DISEASES

10.207 Animal Health and Disease Research (A)
13.268 Childhood Immunization Grants (B)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.989 Senior International Awards Program (B)

### EDUCATION AND TRAINING

13.108 Health Education Assistance Loans (F)
13.110 Maternal and Child Health Federal Consolidated Programs (B)
13.111 Adolescent Family Life Research Grants (B)
13.224 Community Health Centers (B)
13.242 Mental Health Research Grants (B)
13.244 Mental Health Clinical or Service Related Training Grants (B)
13.258 National Health Service Corps (J)
13.263 Occupational Safety and Health—Training Grants (B)
13.271 Alcohol Research Scientist Development and Research Scientist Awards (B)
13.272 Alcohol National Research Service Awards for Research Training (B)
13.273 Alcohol Research Programs (B)
13.274 Alcohol Clinical or Service Related Training Programs (B)
13.277 Drug Abuse Research Scientist Development and Research Scientist Awards (B)
13.278 Drug Abuse National Research Service Awards for Research Training (B)
13.280 Drug Abuse Clinical or Service Related Training Programs (B)
13.281 Mental Health Research Scientist Development and Research Scientist Awards (B)
13.282 Mental Health National Research Service Awards for Research Training (B)

13.288 National Health Service Corps Scholarship Program (B)
13.306 Laboratory Animal Sciences and Primate Research (B)
13.339 Health Professions—Capitation Grants (B)
13.342 Health Professions—Student Loans (B)
13.358 Professional Nurse Traineeships (B)
13.359 Nurse Training Improvement—Special Projects (B)
13.364 Nursing Student Loans (B)
13.379 Grants for Graduate Training in Family Medicine (B)
13.384 Health Professions—Start-Up Assistance (B)
13.631 Administration on Developmental Disabilities—Special Projects (B)
13.632 Administration on Developmental Disabilities—University Affiliated Facilities (B)
13.802 Social Security—Disability Insurance (D)
13.810 Assistance Payments—State and Local Training (A)
13.820 Scholarships for First-Year Students of Exceptional Financial Need (B)
13.824 Area Health Education Centers (B)
13.879 Medical Library Assistance (B)
13.884 Grants for Residency Training in General Internal Medicine and/or General Pediatrics (B)
13.886 Grants for Physician Assistant Training Program (B)
13.895 Grants for Faculty Development in Family Medicine (B)
13.896 Grants for Predoctoral Training in Family Medicine (B)
13.897 Residency Training in the General Practice of Dentistry (B)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
13.983 Health Facility Energy Cost Management (K,L)
13.989 Senior International Awards Program (B)
13.990 National Health Promotion Training Network (B)
17.600 Mine Health and Safety Grants (B)
17.602 Mine Health and Safety Education and Training (K,M)
23.004 Appalachian Health Programs (B)
47.009 Scientific Personnel Improvement (B)
64.023 Health Professional Scholarships (B)
84.029 Handicapped Personnel Preparation (B)
84.128 Rehabilitation Services—Special Projects (B)
84.129 Rehabilitation Training (B)
85.001 Harry S. Truman Scholarship Program (C)

### FACILITY LOANS AND INSURANCE

11.423 Coastal Energy Impact Program—Loans and Guarantees (E)
13.676 Surplus Property Utilization (H)
13.973 Special Loans for Former National Health Service Corps Members to Enter Private Practice (E)
13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A)
14.116 Mortgage Insurance—Group Practice Facilities (F)
14.128 Mortgage Insurance—Hospitals (F)
14.129 Mortgage Insurance—Nursing Homes and Intermediate Care Facilities (F)
14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F)
14.153 Mortgage Insurance—Experimental Projects Other Than Housing (F)
66.603 Loan Guarantees for Construction of Treatment Works (F)

### FACILITY PLANNING AND CONSTRUCTION

10.405 Farm Labor Housing Loans and Grants (B,F)
10.423 Community Facilities Loans (F)
11.300 Economic Development—Grants for Public Works and Development Facilities (B)
11.304 Economic Development—Public Works Impact Projects (B)
11.421 Coastal Energy Impact Program—Formula Grants (A)
11.422 Coastal Energy Impact Program—Planning Grants (B)
13.217 Family Planning Projects (B)
13.224 Community Health Centers (B)
13.246 Migrant Health Centers Grants (B)
13.256 Health Maintenance Organizations (B,E,F)
13.306 Laboratory Animal Sciences and Primate Research (B)
13.333 Clinical Research (B)
13.337 Biomedical Research Support (B)
13.371 Biotechnology Research (B)
13.392 Cancer—Construction (B)
13.393 Cancer Cause and Prevention Research (B)
13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A)
13.897 Residency Training in the General Practice of Dentistry (B)
13.983 Health Facility Energy Cost Management (K,L)
13.985 Eye Research—Facility Construction (B)
13.987 Health Programs for Refugees (B)
14.218 Community Development Block Grants/Entitlement Grants (A)
14.219 Community Development Block Grants/Small Cities Program (B)
23.004 Appalachian Health Programs (B)
64.005 Grants to States for Construction of State Home Facilities (B)
66.418 Construction Grants for Wastewater Treatment Works (B)
66.438 Construction Management Assistance Grants (A)
83.516 Disaster Assistance (B,I,J)
84.025 Handicapped Innovative Programs—Deaf-Blind Centers (B)
84.126 Rehabilitation Services—Basic Support (A)
84.128 Rehabilitation Services—Special Projects (B)

### GENERAL HEALTH AND MEDICAL SERVICES

11.423 Coastal Energy Impact Program—Loans and Guarantees (E)
13.217 Family Planning Projects (B)
13.224 Community Health Centers (B)
13.246 Migrant Health Centers Grants (B)
13.258 National Health Service Corps (J)
13.379 Grants for Graduate Training in Family Medicine (B)
13.665 Community Services Block Grant (A)
13.714 Medical Assistance Program (A)
13.773 Medicare—Hospital Insurance (C)
13.774 Medicare—Supplementary Medical Insurance (C)
13.776 Professional Standards Review Organizations (B)
13.777 State Health Care Providers Survey Certification (A,B)
13.814 Refugee Assistance—State Administered Programs (D)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.823 Primary Care Research and Demonstration Projects (B)
13.886 Grants for Physician Assistant Training Program (B)
13.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)
13.973 Special Loans for Former National Health Service Corps Members to Enter Private Practice (E)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.983 Health Facility Energy Cost Management (K,L)
13.984 Grants for Establishment of Departments of Family Medicine (B)
13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B)
13.990 National Health Promotion Training Network (B)
13.991 Preventive Health and Health Services Block Grant (A)
17.230 Migrant and Seasonal Farmworkers (A,B)
17.234 Employment and Training—Indians and Native Americans (A,B)
23.004 Appalachian Health Programs (B)
64.022 Veterans Hospital Based Home Care (J)

### HEALTH RESEARCH-GENERAL

10.207 Animal Health and Disease Research (A)
13.103 Food and Drug Administration—Research (B)
13.226 Health Services Research and Development—Grants (B)
13.306 Laboratory Animal Sciences and Primate Research (B)
13.333 Clinical Research (B)
13.337 Biomedical Research Support (B)

13.361 Nursing Research Project Grants (B)
13.393 Cancer Cause and Prevention Research (B)
13.394 Cancer Detection and Diagnosis Research (B)
13.395 Cancer Treatment Research (B)
13.396 Cancer Biology Research (B)
13.397 Cancer Centers Support (B)
13.399 Cancer Control (B)
13.766 Health Financing Research, Demonstrations and Experiments (B)
13.812 Assistance Payments—Research (B)
13.821 Physiology and Biomedical Engineering (B)
13.823 Primary Care Research and Demonstration Projects (B)
13.865 Research for Mothers and Children (B)
13.866 Aging Research (B)
13.867 Retinal and Choroidal Diseases Research (B)
13.868 Corneal Diseases Research (B)
13.869 Cataract Research (B)
13.870 Glaucoma Research (B)
13.871 Strabismus, Amblyopia and Visual Processing (B)
13.878 Soft Tissue Stomatology and Nutrition Research (B)
13.880 Minority Access to Research Careers (B)
13.892 Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B)
13.893 Mechanisms of Environmental Diseases and Disorders (B)
13.894 Environmental Health Research and Manpower Development Resources (B)
13.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B)
13.990 National Health Promotion Training Network (B)
17.600 Mine Health and Safety Grants (B)
47.051 Biological, Behavioral, and Social Sciences (B)
64.001 Biomedical Research (I)
66.506 Safe Drinking Water Research and Demonstration Grants (B)
66.507 Toxic Substances Research Grants (B)

HEALTH SERVICES PLANNING AND TECHNICAL ASSISTANCE

11.413 Fishery Products Inspection and Certification (J)
13.110 Maternal and Child Health Federal Consolidated Programs (B)
13.111 Adolescent Family Life Research Grants (B)
13.217 Family Planning Projects (B)
13.224 Community Health Centers (B)
13.226 Health Services Research and Development—Grants (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.246 Migrant Health Centers Grants (B)
13.256 Health Maintenance Organizations (B,E,F)
13.258 National Health Service Corps (J)
13.260 Family Planning Services (B)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.293 State Health Planning and Development Agencies (B)
13.294 Health Planning—Health Systems Agencies (B)
13.371 Biotechnology Research (B)
13.379 Grants for Graduate Training in Family Medicine (B)
13.384 Health Professions—Start-Up Assistance (B)
13.397 Cancer Centers Support (B)
13.399 Cancer Control (B)
13.600 Administration for Children, Youth and Families—Head Start (B)
13.612 Native American Programs—Financial Assistance Grants (B)
13.631 Administration on Developmental Disabilities—Special Projects (B)
13.886 Grants for Physician Assistant Training Program (B)
13.895 Grants for Faculty Development in Family Medicine (B)
13.896 Grants for Predoctoral Training in Family Medicine (B)
13.897 Residency Training in the General Practice of Dentistry (B)
13.974 Family Planning Services Delivery Improvement Research Grants (B)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.983 Health Facility Energy Cost Management (K,L)
13.984 Grants for Establishment of Departments of Family Medicine (B)
13.987 Health Programs for Refugees (B)
13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B)
13.991 Preventive Health and Health Services Block Grant (A)
13.994 Maternal and Child Health Services Block Grants (A)
13.994 Maternal and Child Health Services Block Grants (A)
13.995 Adolescent Family Life Demonstration Projects (B)
17.600 Mine Health and Safety Grants (B)
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)
23.004 Appalachian Health Programs (B)
47.036 Intergovernmental and Public Service Science and Technology Program (B)
64.018 Sharing Specialized Medical Resources (J)
66.507 Toxic Substances Research Grants (B)
72.010 Mini-Grant Program (B)
84.125 Clearinghouse on the Handicapped (K,L)
84.128 Rehabilitation Services—Special Projects (B)

INDIAN HEALTH

13.228 Indian Health Services—Health Management Development Program (B)
13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes (B)
13.661 Native American Programs—Research, Demonstration, and Evaluation (B)
13.970 Health Professions Recruitment Program for Indians (B)
13.971 Health Professions Preparatory Scholarship Programs for Indians (B)
13.972 Health Professions Scholarship Program for Indians (B)
13.983 Health Facility Energy Cost Management (K,L)
15.103 Indian Social Services—Child Welfare Assistance (D)
15.113 Indian Social Services—General Assistance (D)
15.144 Indian Child Welfare Act—Title II Grants (B)

LIBRARIES,INFORMATION AND EDUCATIONAL SERVICES

10.500 Cooperative Extension Service (A)
10.700 National Agricultural Library (L)
11.001 Census Bureau Data Products (L)
11.002 Census Data User Services (K,L,M)
11.005 Census Special Tabulations and Services (J,L)
11.651 Science Information Exchange, Inc. (L)
13.217 Family Planning Projects (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.242 Mental Health Research Grants (B)
13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L)
13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L)
13.260 Family Planning Services (B)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)

| | |
|---|---|
| 13.371 | Biotechnology Research (B) |
| 13.399 | Cancer Control (B) |
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.613 | Mental Retardation—President's Committee on Mental Retardation (L) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.635 | Special Programs for the Aging—Title III, Part C—Nutrition Services (A) |
| 13.879 | Medical Library Assistance (B) |
| 13.886 | Grants for Physician Assistant Training Program (B) |
| 13.893 | Mechanisms of Environmental Diseases and Disorders (B) |
| 13.978 | Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B) |
| 13.983 | Health Facility Energy Cost Management (K,L) |
| 13.989 | Senior International Awards Program (B) |
| 17.500 | Occupational Safety and Health (B,K,L,M,N) |
| 64.018 | Sharing Specialized Medical Resources (J) |
| 66.507 | Toxic Substances Research Grants (B) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |
| 84.126 | Rehabilitation Services—Basic Support (A) |

## MATERNITY, INFANTS, CHILDREN

| | |
|---|---|
| 10.500 | Cooperative Extension Service (A) |
| 13.110 | Maternal and Child Health Federal Consolidated Programs (B) |
| 13.111 | Adolescent Family Life Research Grants (B) |
| 13.217 | Family Planning Projects (B) |
| 13.242 | Mental Health Research Grants (B) |
| 13.260 | Family Planning Services (B) |
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.628 | Child Abuse and Neglect Prevention and Treatment (A,B) |
| 13.865 | Research for Mothers and Children (B) |
| 13.974 | Family Planning Services Delivery Improvement Research Grants (B) |
| 13.994 | Maternal and Child Health Services Block Grants (A) |
| 13.995 | Adolescent Family Life Demonstration Projects (B) |
| 15.103 | Indian Social Services—Child Welfare Assistance (D) |
| 23.013 | Appalachian Child Development (B) |
| 84.011 | Migrant Education—Basic State Formula Grant Program (A) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |

## MENTAL HEALTH

| | |
|---|---|
| 13.242 | Mental Health Research Grants (B) |
| 13.243 | Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L) |
| 13.244 | Mental Health Clinical or Service Related Training Grants (B) |
| 13.281 | Mental Health Research Scientist Development and Research Scientist Awards (B) |
| 13.282 | Mental Health National Research Service Awards for Research Training (B) |
| 13.293 | State Health Planning and Development Agencies (B) |
| 13.613 | Mental Retardation—President's Committee on Mental Retardation (L) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.632 | Administration on Developmental Disabilities—University Affiliated Facilities (B) |
| 13.982 | Mental Health Disaster Assistance and Emergency Mental Health (B) |
| 13.992 | Alcohol and Drug Abuse and Mental Health Services Block Grant (A) |
| 84.133 | National Institute of Handicapped Research (B) |

## OCCUPATIONAL SAFETY AND HEALTH

| | |
|---|---|
| 10.405 | Farm Labor Housing Loans and Grants (B,F) |
| 13.246 | Migrant Health Centers Grants (B) |
| 13.262 | Occupational Safety and Health Research Grants (B) |
| 13.263 | Occupational Safety and Health—Training Grants (B) |
| 13.283 | Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M) |
| 13.806 | Special Benefits for Disabled Coal Miners (D) |
| 17.308 | Farm Labor Contractor Registration (K,N) |
| 17.500 | Occupational Safety and Health (B,K,L,M,N) |
| 17.600 | Mine Health and Safety Grants (B) |
| 17.601 | Mine Health and Safety Counseling and Technical Assistance (K,L) |
| 17.602 | Mine Health and Safety Education and Training (K,M) |
| 20.217 | Motor Carrier Safety (M,N) |
| 20.700 | Gas Pipeline Safety (A) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 81.028 | Radiological Emergency Assistance (J,K,L) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |

## PHYSICAL FITNESS

| | |
|---|---|
| 13.289 | President's Council on Physical Fitness and Sports (J,K,L,M) |
| 15.917 | Recreation—Technical Assistance (K,L,M) |
| 20.001 | Boating Safety (J,L,M) |
| 72.010 | Mini-Grant Program (B) |
| 72.011 | State Office of Voluntary Citizen Participation (B) |
| 84.009 | Program for Education of Handicapped Children in State Operated or Supported Schools (A) |
| 84.023 | Handicapped—Research and Demonstration (B) |

## PREVENTION AND CONTROL

| | |
|---|---|
| 13.228 | Indian Health Services—Health Management Development Program (B) |
| 13.242 | Mental Health Research Grants (B) |
| 13.246 | Migrant Health Centers Grants (B) |
| 13.268 | Childhood Immunization Grants (B) |
| 13.271 | Alcohol Research Scientist Development and Research Scientist Awards (B) |
| 13.277 | Drug Abuse Research Scientist Development and Research Scientist Awards (B) |
| 13.278 | Drug Abuse National Research Service Awards for Research Training (B) |
| 13.279 | Drug Abuse Research Programs (B) |
| 13.280 | Drug Abuse Clinical or Service Related Training Programs (B) |
| 13.281 | Mental Health Research Scientist Development and Research Scientist Awards (B) |
| 13.283 | Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M) |
| 13.289 | President's Council on Physical Fitness and Sports (J,K,L,M) |
| 13.333 | Clinical Research (B) |
| 13.393 | Cancer Cause and Prevention Research (B) |
| 13.396 | Cancer Biology Research (B) |
| 13.837 | Heart and Vascular Diseases Research (B) |
| 13.838 | Lung Diseases Research (B) |
| 13.839 | Blood Diseases and Resources Research (B) |
| 13.840 | Caries Research (B) |
| 13.841 | Periodontal Diseases Research (B) |
| 13.842 | Craniofacial Anomalies Research (B) |
| 13.843 | Restorative Materials Research (B) |
| 13.844 | Pain Control and Behavioral Studies (B) |
| 13.845 | Dental Research Institutes (B) |
| 13.846 | Arthritis, Musculoskeletal and Skin Diseases Research (B) |
| 13.847 | Diabetes, Endocrinology and Metabolism Research (B) |

13.848 Digestive Diseases and Nutrition Research (B)
13.849 Kidney Diseases, Urology and Hematology Research (B)
13.853 Clinical Research (B)
13.854 Biological Basis Research (B)
13.855 Immunology, Allergic and Immunologic Diseases Research (B)
13.856 Microbiology and Infectious Diseases Research (B)
13.859 Pharmacological Sciences (B)
13.862 Genetics Research (B)
13.863 Cellular and Molecular Basis of Disease Research (B)
13.864 Population Research (B)
13.865 Research for Mothers and Children (B)
13.866 Aging Research (B)
13.867 Retinal and Choroidal Diseases Research (B)
13.868 Corneal Diseases Research (B)
13.869 Cataract Research (B)
13.870 Glaucoma Research (B)
13.871 Strabismus, Amblyopia and Visual Processing (B)
13.878 Soft Tissue Stomatology and Nutrition Research (B)
13.892 Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B)
13.893 Mechanisms of Environmental Diseases and Disorders (B)
13.894 Environmental Health Research and Manpower Development Resources (B)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.983 Health Facility Energy Cost Management (K,L)
13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B)
13.990 National Health Promotion Training Network (B)
13.991 Preventive Health and Health Services Block Grant (A)
13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A)
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)
23.004 Appalachian Health Programs (B)
66.506 Safe Drinking Water Research and Demonstration Grants (B)
66.507 Toxic Substances Research Grants (B)
72.010 Mini-Grant Program (B)
81.042 Weatherization Assistance for Low-Income Persons (B)
84.133 National Institute of Handicapped Research (B)

PROGRAM DEVELOPMENT

13.111 Adolescent Family Life Research Grants (B)
13.217 Family Planning Projects (B)
13.224 Community Health Centers (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.246 Migrant Health Centers Grants (B)
13.256 Health Maintenance Organizations (B,E,F)
13.258 National Health Service Corps (J)
13.260 Family Planning Services (B)
13.268 Childhood Immunization Grants (B)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.339 Health Professions—Capitation Grants (B)
13.359 Nurse Training Improvement—Special Projects (B)
13.379 Grants for Graduate Training in Family Medicine (B)
13.384 Health Professions—Start-Up Assistance (B)
13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A)
13.631 Administration on Developmental Disabilities—Special Projects (B)
13.632 Administration on Developmental Disabilities—University Affiliated Facilities (B)
13.633 Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers (A)
13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services (A)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.824 Area Health Education Centers (B)
13.879 Medical Library Assistance (B)
13.973 Special Loans for Former National Health Service Corps Members to Enter Private Practice (E)
13.974 Family Planning Services Delivery Improvement Research Grants (B)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.983 Health Facility Energy Cost Management (K,L)
13.984 Grants for Establishment of Departments of Family Medicine (B)
13.987 Health Programs for Refugees (B)
13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B)
13.991 Preventive Health and Health Services Block Grant (A)
13.994 Maternal and Child Health Services Block Grants (A)
84.128 Rehabilitation Services—Special Projects (B)
84.133 National Institute of Handicapped Research (B)

SPECIALIZED HEALTH RESEARCH AND TRAINING

10.207 Animal Health and Disease Research (A)
13.110 Maternal and Child Health Federal Consolidated Programs (B)
13.111 Adolescent Family Life Research Grants (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
13.375 Minority Biomedical Research Support (B)
13.398 Cancer Research Manpower (B)
13.628 Child Abuse and Neglect Prevention and Treatment (A,B)
13.824 Area Health Education Centers (B)
13.837 Heart and Vascular Diseases Research (B)
13.838 Lung Diseases Research (B)
13.839 Blood Diseases and Resources Research (B)
13.840 Caries Research (B)
13.841 Periodontal Diseases Research (B)
13.842 Craniofacial Anomalies Research (B)
13.843 Restorative Materials Research (B)
13.844 Pain Control and Behavioral Studies (B)
13.845 Dental Research Institutes (B)
13.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)
13.847 Diabetes, Endocrinology and Metabolism Research (B)
13.848 Digestive Diseases and Nutrition Research (B)
13.849 Kidney Diseases, Urology and Hematology Research (B)
13.853 Clinical Research (B)
13.854 Biological Basis Research (B)
13.855 Immunology, Allergic and Immunologic Diseases Research (B)
13.856 Microbiology and Infectious Diseases Research (B)
13.859 Pharmacological Sciences (B)
13.862 Genetics Research (B)
13.863 Cellular and Molecular Basis of Disease Research (B)
13.864 Population Research (B)
13.865 Research for Mothers and Children (B)
13.866 Aging Research (B)
13.867 Retinal and Choroidal Diseases Research (B)
13.868 Corneal Diseases Research (B)
13.869 Cataract Research (B)
13.870 Glaucoma Research (B)
13.871 Strabismus, Amblyopia and Visual Processing (B)
13.878 Soft Tissue Stomatology and Nutrition Research (B)
13.880 Minority Access to Research Careers (B)
13.894 Environmental Health Research and Manpower Development Resources (B)

13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.983 Health Facility Energy Cost Management (K,L)
13.987 Health Programs for Refugees (B)
13.987 Health Programs for Refugees (B)
13.989 Senior International Awards Program (B)
13.990 National Health Promotion Training Network (B)
47.051 Biological, Behavioral, and Social Sciences (B)

### VETERANS HEALTH

12.500 U.S. Soldiers' and Airmen's Home (J)
64.001 Biomedical Research (I)
64.007 Blind Veterans Rehabilitation Centers (J)
64.008 Veterans Domiciliary Care (J)
64.009 Veterans Hospitalization (J)
64.010 Veterans Nursing Home Care (J)
64.011 Veterans Outpatient Care (J)
64.012 Veterans Prescription Service (H)
64.013 Veterans Prosthetic Appliances (H)
64.014 Veterans State Domiciliary Care (A)
64.015 Veterans State Nursing Home Care (A)
64.016 Veterans State Hospital Care (A)
64.019 Veterans Rehabilitation—Alcohol and Drug Dependence (J)
64.022 Veterans Hospital Based Home Care (J)

## HOUSING

### PROPERTY AND MORTGAGE INSURANCE

14.167 Mortgage Insurance—Two Year Operating Loss Loans, Section 223(d) (F)
83.100 Flood Insurance (G)
83.101 Urban Property Insurance (G)
83.102 Crime Insurance (G)

### HOMEBUYING, HOMEOWNERSHIP

10.405 Farm Labor Housing Loans and Grants (B,F)
10.410 Low to Moderate Income Housing Loans (F)
14.105 Interest Reduction—Homes for Lower Income Families (C,F)
14.110 Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers (F)
14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects (F)
14.117 Mortgage Insurance—Homes (F)
14.118 Mortgage Insurance—Homes for Certified Veterans (F)
14.119 Mortgage Insurance—Homes for Disaster Victims (F)
14.120 Mortgage Insurance—Homes for Low and Moderate Income Families (F)
14.121 Mortgage Insurance—Homes in Outlying Areas (F)
14.122 Mortgage Insurance—Homes in Urban Renewal Areas (F)
14.123 Mortgage Insurance—Housing in Older, Declining Areas (F)
14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F)
14.126 Mortgage Insurance—Management Type Cooperative Projects (F)
14.130 Mortgage Insurance—Purchase by Homeowners of Fee Simple Title From Lessors (F)
14.132 Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units (F)
14.133 Mortgage Insurance—Purchase of Units in Condominiums (F)
14.140 Mortgage Insurance—Special Credit Risks (F)
14.147 Low Income Housing—Homeownership Opportunities for Low Income Families (C,E)
14.152 Mortgage Insurance—Experimental Homes (F)
14.154 Mortgage Insurance—Experimental Rental Housing (F)
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
14.159 Section 245 Graduated Payment Mortgage Program (F)
14.161 Single-Family Home Mortgage Coinsurance (F)
14.162 Mortgage Insurance—Combination and Mobile Home Lot Loans (F)
14.163 Mortgage Insurance—Cooperative Financing (F)
14.165 Mortgage Insurance—Homes—Military Impacted Areas (F)
14.166 Mortgage Insurance—Homes for Members of the Armed Services (F)
14.169 Housing Counseling Program (B)
14.171 Manufactured Housing—Mobile Home Construction (L,N)
14.222 Urban Homesteading (H)
14.400 Equal Opportunity in Housing (N)
14.401 Fair Housing Assistance Program (B)
16.103 Fair Housing and Equal Credit Opportunity (J)
64.114 Veterans Housing—Guaranteed and Insured Loans (F)
64.118 Veterans Housing—Direct Loans for Disabled Veterans (E)
64.119 Veterans Housing—Mobile Home Loans (F)

### HOME IMPROVEMENTS

10.405 Farm Labor Housing Loans and Grants (B,F)
10.410 Low to Moderate Income Housing Loans (F)
10.415 Rural Rental Housing Loans (F)
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F)
14.108 Rehabilitation Mortgage Insurance (F)
14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F)
14.120 Mortgage Insurance—Homes for Low and Moderate Income Families (F)
14.122 Mortgage Insurance—Homes in Urban Renewal Areas (F)
14.123 Mortgage Insurance—Housing in Older, Declining Areas (F)
14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F)
14.126 Mortgage Insurance—Management Type Cooperative Projects (F)
14.134 Mortgage Insurance—Rental Housing (F)
14.135 Mortgage Insurance—Rental Housing for Moderate Income Families (F)
14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F)
14.138 Mortgage Insurance—Rental Housing for the Elderly (F)
14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F)
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F)
14.152 Mortgage Insurance—Experimental Homes (F)
14.157 Housing for the Elderly or Handicapped (E)
14.158 Public Housing—Comprehensive Improvement Assistance Program (B,C,E)
14.165 Mortgage Insurance—Homes—Military Impacted Areas (F)
14.218 Community Development Block Grants/Entitlement Grants (A)
14.219 Community Development Block Grants/Small Cities Program (B)
14.220 Section 312 Rehabilitation Loans (E)
15.141 Indian Housing Assistance (B,K,L,M)
15.144 Indian Child Welfare Act—Title II Grants (B)
23.005 Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B)
64.106 Specially Adapted Housing for Disabled Veterans (C)
64.114 Veterans Housing—Guaranteed and Insured Loans (F)

64.118 Veterans Housing—Direct Loans for Disabled Veterans (E)
64.119 Veterans Housing—Mobile Home Loans (F)
81.042 Weatherization Assistance for Low-Income Persons (B)
83.516 Disaster Assistance (B,I,J)

**COOPERATIVES, RENTAL**

10.411 Rural Housing Site Loans (E,F)
10.415 Rural Rental Housing Loans (F)
14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F)
14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects (F)
14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F)
14.126 Mortgage Insurance—Management Type Cooperative Projects (F)
14.132 Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units (F)
14.134 Mortgage Insurance—Rental Housing (F)
14.135 Mortgage Insurance—Rental Housing for Moderate Income Families (F)
14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F)
14.138 Mortgage Insurance—Rental Housing for the Elderly (F)
14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F)
14.149 Rent Supplements—Rental Housing for Lower Income Families (C)
14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F)
14.152 Mortgage Insurance—Experimental Homes (F)
14.154 Mortgage Insurance—Experimental Rental Housing (F)
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
14.156 Lower Income Housing Assistance Program (C)
14.157 Housing for the Elderly or Handicapped (E)
14.163 Mortgage Insurance—Cooperative Financing (F)
14.169 Housing Counseling Program (B)
14.170 Congregate Housing Services Program (B)

**RURAL HOUSING**

10.405 Farm Labor Housing Loans and Grants (B,F)
10.407 Farm Ownership Loans (F)
10.410 Low to Moderate Income Housing Loans (F)
10.411 Rural Housing Site Loans (E,F)
10.415 Rural Rental Housing Loans (F)
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
10.420 Rural Self-Help Housing Technical Assistance (B)
10.427 Rural Rental Assistance Payments (C)
10.431 Technical and Supervisory Assistance Grants (B)
14.108 Rehabilitation Mortgage Insurance (F)
14.121 Mortgage Insurance—Homes in Outlying Areas (F)
64.114 Veterans Housing—Guaranteed and Insured Loans (F)

**MULTIFAMILY**

14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F)
14.105 Interest Reduction—Homes for Lower Income Families (C,F)
14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F)
14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F)
14.126 Mortgage Insurance—Management Type Cooperative Projects (F)
14.133 Mortgage Insurance—Purchase of Units in Condominiums (F)
14.134 Mortgage Insurance—Rental Housing (F)
14.135 Mortgage Insurance—Rental Housing for Moderate Income Families (F)
14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F)
14.138 Mortgage Insurance—Rental Housing for the Elderly (F)
14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F)
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
14.146 Low Income Housing—Assistance Program (C,E)
14.149 Rent Supplements—Rental Housing for Lower Income Families (C)
14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F)
14.154 Mortgage Insurance—Experimental Rental Housing (F)
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
14.156 Lower Income Housing Assistance Program (C)
14.157 Housing for the Elderly or Handicapped (E)
14.164 Operating Assistance for Troubled Multifamily Housing Projects (B,C)
14.167 Mortgage Insurance—Two Year Operating Loss Loans, Section 223(d) (F)

**EXPERIMENTAL AND DEVELOPMENTAL PROJECTS**

14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F)
14.125 Mortgage Insurance—Land Development and New Communities (F)
14.141 Nonprofit Sponsor Assistance Program (E)
14.152 Mortgage Insurance—Experimental Homes (F)
14.153 Mortgage Insurance—Experimental Projects Other Than Housing (F)
14.154 Mortgage Insurance—Experimental Rental Housing (F)
14.207 New Communities—Loan Guarantees (F)
14.211 Surplus Land for Low and Moderate Income Housing (H,K)
14.506 General Research and Technology Activity (B)

**INDIAN HOUSING**

13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes (B)
14.146 Low Income Housing—Assistance Program (C,E)
14.147 Low Income Housing—Homeownership Opportunities for Low Income Families (C,E)
14.229 Community Development Block Grants/Secretary's Discretionary Fund (B,C)
14.400 Equal Opportunity in Housing (N)
14.401 Fair Housing Assistance Program (B)
15.124 Indian Loans—Economic Development (E,F,J)
15.141 Indian Housing Assistance (B,K,L,M)
15.144 Indian Child Welfare Act—Title II Grants (B)
16.103 Fair Housing and Equal Credit Opportunity (J)

**CONSTRUCTION, REHABILITATION**

10.405 Farm Labor Housing Loans and Grants (B,F)
10.407 Farm Ownership Loans (F)
10.410 Low to Moderate Income Housing Loans (F)
10.415 Rural Rental Housing Loans (F)
14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F)
14.105 Interest Reduction—Homes for Lower Income Families (C,F)
14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F)
14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects (F)
14.116 Mortgage Insurance—Group Practice Facilities (F)

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| 14.120 | Mortgage Insurance—Homes for Low and Moderate Income Families (F) |
| 14.122 | Mortgage Insurance—Homes in Urban Renewal Areas (F) |
| 14.123 | Mortgage Insurance—Housing in Older, Declining Areas (F) |
| 14.124 | Mortgage Insurance—Investor Sponsored Cooperative Housing (F) |
| 14.126 | Mortgage Insurance—Management Type Cooperative Projects (F) |
| 14.127 | Mortgage Insurance—Manufactured (Mobile) Home Parks (F) |
| 14.134 | Mortgage Insurance—Rental Housing (F) |
| 14.135 | Mortgage Insurance—Rental Housing for Moderate Income Families (F) |
| 14.137 | Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F) |
| 14.138 | Mortgage Insurance—Rental Housing for the Elderly (F) |
| 14.139 | Mortgage Insurance—Rental Housing in Urban Renewal Areas (F) |
| 14.142 | Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F) |
| 14.146 | Low Income Housing—Assistance Program (C,E) |
| 14.147 | Low Income Housing—Homeownership Opportunities for Low Income Families (C,E) |
| 14.152 | Mortgage Insurance—Experimental Homes (F) |
| 14.154 | Mortgage Insurance—Experimental Rental Housing (F) |
| 14.157 | Housing for the Elderly or Handicapped (E) |
| 14.158 | Public Housing—Comprehensive Improvement Assistance Program (B,C,E) |
| 14.165 | Mortgage Insurance—Homes—Military Impacted Areas (F) |
| 14.166 | Mortgage Insurance—Homes for Members of the Armed Services (F) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 14.220 | Section 312 Rehabilitation Loans (E) |
| 14.221 | Urban Development Action Grants (B) |
| 14.229 | Community Development Block Grants/Secretary's Discretionary Fund (B,C) |
| 15.141 | Indian Housing Assistance (B,K,L,M) |
| 23.005 | Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B) |
| 64.106 | Specially Adapted Housing for Disabled Veterans (C) |
| 64.118 | Veterans Housing—Direct Loans for Disabled Veterans (E) |

### PLANNING

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| 10.420 | Rural Self-Help Housing Technical Assistance (B) |
| 10.422 | Business and Industrial Loans (F) |
| 10.431 | Technical and Supervisory Assistance Grants (B) |
| 13.817 | Entrant Assistance—Cuban and Haitian Entrants (D) |
| 14.141 | Nonprofit Sponsor Assistance Program (E) |
| 14.168 | Land Sales—Parcels of Subdivided Land (L,N) |
| 14.169 | Housing Counseling Program (B) |
| 14.170 | Congregate Housing Services Program (B) |
| 14.221 | Urban Development Action Grants (B) |
| 14.403 | Community Housing Resource Board Program (B) |
| 15.141 | Indian Housing Assistance (B,K,L,M) |
| 23.005 | Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B) |
| 83.505 | State Disaster Preparedness Grants (B) |

### LAND ACQUISITION

| | |
|---|---|
| 10.405 | Farm Labor Housing Loans and Grants (B,F) |
| 10.410 | Low to Moderate Income Housing Loans (F) |
| 10.411 | Rural Housing Site Loans (E,F) |
| 10.415 | Rural Rental Housing Loans (F) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 14.125 | Mortgage Insurance—Land Development and New Communities (F) |
| 14.127 | Mortgage Insurance—Manufactured (Mobile) Home Parks (F) |
| 14.130 | Mortgage Insurance—Purchase by Homeowners of Fee Simple Title From Lessors (F) |
| 14.168 | Land Sales—Parcels of Subdivided Land (L,N) |
| 14.207 | New Communities—Loan Guarantees (F) |
| 14.211 | Surplus Land for Low and Moderate Income Housing (H,K) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 15.124 | Indian Loans—Economic Development (E,F,J) |

### SITE PREPARATION FOR HOUSING

| | |
|---|---|
| 10.405 | Farm Labor Housing Loans and Grants (B,F) |
| 10.410 | Low to Moderate Income Housing Loans (F) |
| 10.411 | Rural Housing Site Loans (E,F) |
| 10.415 | Rural Rental Housing Loans (F) |
| 14.125 | Mortgage Insurance—Land Development and New Communities (F) |
| 14.127 | Mortgage Insurance—Manufactured (Mobile) Home Parks (F) |
| 14.141 | Nonprofit Sponsor Assistance Program (E) |
| 14.153 | Mortgage Insurance—Experimental Projects Other Than Housing (F) |
| 14.162 | Mortgage Insurance—Combination and Mobile Home Lot Loans (F) |
| 14.207 | New Communities—Loan Guarantees (F) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 15.124 | Indian Loans—Economic Development (E,F,J) |

## INCOME SECURITY AND SOCIAL SERVICES

### DISABLED AND HANDICAPPED SEVICES

| | |
|---|---|
| 12.500 | U.S. Soldiers' and Airmen's Home (J) |
| 13.258 | National Health Service Corps (J) |
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.613 | Mental Retardation—President's Committee on Mental Retardation (L) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.632 | Administration on Developmental Disabilities—University Affiliated Facilities (B) |
| 13.655 | Special Programs for the Aging—Title VI—Grants to Indian Tribes (B) |
| 13.773 | Medicare—Hospital Insurance (C) |
| 13.774 | Medicare—Supplementary Medical Insurance (C) |
| 13.802 | Social Security—Disability Insurance (D) |
| 13.805 | Social Security—Survivors Insurance (D) |
| 13.806 | Special Benefits for Disabled Coal Miners (D) |
| 13.807 | Supplemental Security Income (D) |
| 13.808 | Assistance Payments—Maintenance Assistance (A) |
| 15.103 | Indian Social Services—Child Welfare Assistance (D) |
| 17.302 | Longshoremen's and Harbor Workers' Compensation (D) |
| 17.307 | Coal Mine Workers' Compensation (D) |
| 27.005 | Federal Employment for the Handicapped (O) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 53.001 | Handicapped Employment Promotion (K,L) |
| 57.001 | Social Insurance for Railroad Workers (D) |

59.021 Handicapped Assistance Loans (E,F)
64.007 Blind Veterans Rehabilitation Centers (J)
64.115 Veterans Information and Assistance (K)
72.008 The Senior Companion Program (B)
84.025 Handicapped Innovative Programs—Deaf-Blind Centers (B)
84.078 Regional Education Programs for Deaf and Other Handicapped Persons (B)
84.125 Clearinghouse on the Handicapped (K,L)
84.126 Rehabilitation Services—Basic Support (A)
84.128 Rehabilitation Services—Special Projects (B)
84.132 Centers for Independent Living (B)
84.133 National Institute of Handicapped Research (B)

**DISABLED VETERAN**

27.002 Federal Employment Assistance for Veterans (O)
64.008 Veterans Domiciliary Care (J)
64.013 Veterans Prosthetic Appliances (H)
64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)
64.104 Pension for Non-Service-Connected Disability for Veterans (D)
64.106 Specially Adapted Housing for Disabled Veterans (C)
64.109 Veterans Compensation for Service-Connected Disability (D)
64.115 Veterans Information and Assistance (K)
64.116 Vocational Rehabilitation for Disabled Veterans (D,E)
64.118 Veterans Housing—Direct Loans for Disabled Veterans (E)

**EMERGENCY AND CRISIS ASSISTANCE**

13.814 Refugee Assistance—State Administered Programs (D)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
15.103 Indian Social Services—Child Welfare Assistance (D)
15.113 Indian Social Services—General Assistance (D)
16.001 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L)
16.200 Community Relations Service (K)
16.301 Law Enforcement Assistance—FBI Crime Laboratory Support (J,M)
16.303 Law Enforcement Assistance—FBI Fingerprint Identification (J)
16.304 Law Enforcement Assistance—National Crime Information Center (J)
16.571 Public Safety Officers' Benefits Program (D)
20.600 State and Community Highway Safety (A)
59.002 Economic Injury Disaster Loans (E,F)
64.104 Pension for Non-Service-Connected Disability for Veterans (D)
64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)
83.505 State Disaster Preparedness Grants (B)
83.516 Disaster Assistance (B,I,J)

**FAMILY AND CHILD WELFARE SERVICES**

10.500 Cooperative Extension Service (A)
10.557 Special Supplemental Food Program for Women, Infants, and Children (A)
10.565 Commodity Supplemental Food Program (A,B,H)
13.217 Family Planning Projects (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.246 Migrant Health Centers Grants (B)
13.256 Health Maintenance Organizations (B,E,F)
13.258 National Health Service Corps (J)
13.260 Family Planning Services (B)
13.268 Childhood Immunization Grants (B)
13.600 Administration for Children, Youth and Families—Head Start (B)
13.608 Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B)
13.623 Administration for Children, Youth and Families—Runaway Youth (B)
13.628 Child Abuse and Neglect Prevention and Treatment (A,B)
13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A)
13.631 Administration on Developmental Disabilities—Special Projects (B)
13.645 Child Welfare Services—State Grants (A)
13.646 Work Incentive Program (A)
13.652 Administration for Children, Youth and Families—Adoption Opportunities (B)
13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes (B)
13.659 Adoption Assistance (A)
13.679 Child Support Enforcement (A,J)
13.806 Special Benefits for Disabled Coal Miners (D)
13.812 Assistance Payments—Research (B)
13.814 Refugee Assistance—State Administered Programs (D)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.865 Research for Mothers and Children (B)
13.984 Grants for Establishment of Departments of Family Medicine (B)
13.995 Adolescent Family Life Demonstration Projects (B)
15.103 Indian Social Services—Child Welfare Assistance (D)
15.113 Indian Social Services—General Assistance (D)
15.144 Indian Child Welfare Act—Title II Grants (B)
23.013 Appalachian Child Development (B)
72.001 The Foster Grandparent Program (B)
72.010 Mini-Grant Program (B)
72.011 State Office of Voluntary Citizen Participation (B)
72.012 Volunteer Demonstration Program (B)
72.013 Technical Assistance Program (B)
84.011 Migrant Education—Basic State Formula Grant Program (A)
84.025 Handicapped Innovative Programs—Deaf-Blind Centers (B)
84.126 Rehabilitation Services—Basic Support (A)
84.128 Rehabilitation Services—Special Projects (B)

**INDIAN SERVICES**

13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes (B)
13.661 Native American Programs—Research, Demonstration, and Evaluation (B)
13.662 Native American Programs—Training and Technical Assistance (B)
15.103 Indian Social Services—Child Welfare Assistance (D)
15.113 Indian Social Services—General Assistance (D)
15.144 Indian Child Welfare Act—Title II Grants (B)
17.234 Employment and Training—Indians and Native Americans (A,B)

**INFORMATION AND REFERRAL SERVICES**

10.700 National Agricultural Library (L)
11.001 Census Bureau Data Products (L)
11.002 Census Data User Services (K,L,M)
11.004 Census Intergovernmental Services (K,L,M)
11.005 Census Special Tabulations and Services (J,L)
11.651 Science Information Exchange, Inc. (L)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.600 Administration for Children, Youth and Families—Head Start (B)
13.612 Native American Programs—Financial Assistance Grants (B)
13.613 Mental Retardation—President's Committee on Mental Retardation (L)
13.623 Administration for Children, Youth and Families—Runaway Youth (B)
13.631 Administration on Developmental Disabilities—Special Projects (B)

| | |
|---|---|
| 13.633 | Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers (A) |
| 13.635 | Special Programs for the Aging—Title III, Part C—Nutrition Services (A) |
| 13.678 | Consumer Affairs (K,L) |
| 13.773 | Medicare—Hospital Insurance (C) |
| 13.774 | Medicare—Supplementary Medical Insurance (C) |
| 13.814 | Refugee Assistance—State Administered Programs (D) |
| 15.113 | Indian Social Services—General Assistance (D) |
| 16.003 | Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L) |
| 16.005 | Public Education on Drug Abuse—Information (K) |
| 16.200 | Community Relations Service (K) |
| 16.301 | Law Enforcement Assistance—FBI Crime Laboratory Support (J,M) |
| 16.303 | Law Enforcement Assistance—FBI Fingerprint Identification (J) |
| 16.304 | Law Enforcement Assistance—National Crime Information Center (J) |
| 16.305 | Law Enforcement Assistance—Uniform Crime Reports (L) |
| 16.400 | Citizenship Education and Training (L) |
| 16.541 | Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance (B) |
| 16.550 | Criminal Justice Statistics Development (B) |
| 16.551 | Statistics on Crime and Criminal Justice (L) |
| 17.700 | Women's Special Employment Assistance (K,L) |
| 20.600 | State and Community Highway Safety (A) |
| 21.003 | Taxpayer Service (K,M) |
| 21.004 | Federal Tax Information for State Tax Officials (J) |
| 30.005 | Employment Discrimination—Private Bar Program (J) |
| 32.001 | Communications Information and Investigation of Complaints (L,N) |
| 53.001 | Handicapped Employment Promotion (K,L) |
| 57.001 | Social Insurance for Railroad Workers (D) |
| 64.115 | Veterans Information and Assistance (K) |
| 72.002 | Retired Senior Volunteer Program (B) |
| 72.003 | Volunteers in Service to America (J) |
| 72.005 | National Center for Service-Learning (B,J,K,L,M) |
| 72.008 | The Senior Companion Program (B) |
| 72.010 | Mini-Grant Program (B) |
| 72.011 | State Office of Voluntary Citizen Participation (B) |
| 72.012 | Volunteer Demonstration Program (B) |
| 72.013 | Technical Assistance Program (B) |
| 78.004 | Commodity Futures Reparations Claims (N) |
| 81.050 | Energy Extension Service (A) |
| 84.025 | Handicapped Innovative Programs—Deaf-Blind Centers (B) |
| 84.028 | Handicapped Regional Resource Centers (B) |
| 84.030 | Handicapped Teacher Recruitment and Information (B) |

## LEGAL AND ADVOCACY SERVICES

| | |
|---|---|
| 10.154 | Market Supervision and Assistance (J,K,M) |
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.675 | Civil Rights Compliance Activities (L,N) |
| 13.678 | Consumer Affairs (K,L) |
| 13.775 | State Medicaid Fraud Control Units (A) |
| 14.400 | Equal Opportunity in Housing (N) |
| 15.144 | Indian Child Welfare Act—Title II Grants (B) |
| 16.100 | Desegregation of Public Education (J) |
| 16.103 | Fair Housing and Equal Credit Opportunity (J) |
| 16.104 | Protection of Voting Rights (J) |
| 16.200 | Community Relations Service (K) |
| 17.230 | Migrant and Seasonal Farmworkers (A,B) |
| 17.301 | Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N) |
| 17.306 | Consumer Credit Protection (K,N) |
| 21.003 | Taxpayer Service (K,M) |
| 21.004 | Federal Tax Information for State Tax Officials (J) |
| 26.002 | Air Transportation—Consumer Affairs (N) |
| 30.001 | Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (N) |
| 30.005 | Employment Discrimination—Private Bar Program (J) |
| 30.008 | Employment Discrimination—Age Discrimination in Employment (K,N) |
| 30.010 | Employment Discrimination—Equal Pay Act (K,N) |
| 32.001 | Communications Information and Investigation of Complaints (L,N) |
| 33.001 | Shipping—Investigation of Complaints (N) |
| 36.001 | Fair Competition Counseling and Investigation of Complaints (K,N) |
| 41.002 | Interstate Commerce—Investigation of Complaints (N) |
| 72.003 | Volunteers in Service to America (J) |
| 72.010 | Mini-Grant Program (B) |
| 72.011 | State Office of Voluntary Citizen Participation (B) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |
| 84.136 | Legal Training for the Disadvantaged (B) |

## NUTRITION

| | |
|---|---|
| 10.206 | Grants for Agricultural Research—Competitive Research Grants (B) |
| 10.550 | Food Distribution (A,H) |
| 10.551 | Food Stamps (C) |
| 10.553 | School Breakfast Program (A) |
| 10.555 | National School Lunch Program (A) |
| 10.556 | Special Milk Program for Children (A) |
| 10.557 | Special Supplemental Food Program for Women, Infants, and Children (A) |
| 10.558 | Child Care Food Program (A,H) |
| 10.559 | Summer Food Service Program for Children (A) |
| 10.565 | Commodity Supplemental Food Program (A,B,H) |
| 13.228 | Indian Health Services—Health Management Development Program (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.635 | Special Programs for the Aging—Title III, Part C—Nutrition Services (A) |
| 13.773 | Medicare—Hospital Insurance (C) |
| 13.774 | Medicare—Supplementary Medical Insurance (C) |
| 13.808 | Assistance Payments—Maintenance Assistance (A) |
| 15.103 | Indian Social Services—Child Welfare Assistance (D) |
| 15.113 | Indian Social Services—General Assistance (D) |
| 17.230 | Migrant and Seasonal Farmworkers (A,B) |
| 23.004 | Appalachian Health Programs (B) |
| 72.003 | Volunteers in Service to America (J) |
| 84.011 | Migrant Education—Basic State Formula Grant Program (A) |
| 84.014 | Follow Through (B) |

## OLD AGE ASSISTANCE

| | |
|---|---|
| 13.633 | Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers (A) |
| 13.635 | Special Programs for the Aging—Title III, Part C—Nutrition Services (A) |
| 13.668 | Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B) |
| 13.773 | Medicare—Hospital Insurance (C) |
| 13.774 | Medicare—Supplementary Medical Insurance (C) |
| 13.803 | Social Security—Retirement Insurance (D) |
| 13.804 | Social Security—Special Benefits for Persons Aged 72 and Over (D) |
| 13.807 | Supplemental Security Income (D) |
| 17.235 | Senior Community Service Employment Program (A,B) |
| 21.006 | Tax Counseling for the Elderly (C) |
| 57.001 | Social Insurance for Railroad Workers (D) |
| 72.001 | The Foster Grandparent Program (B) |
| 72.002 | Retired Senior Volunteer Program (B) |
| 72.008 | The Senior Companion Program (B) |
| 72.012 | Volunteer Demonstration Program (B) |
| 86.001 | Pension Plan Termination Insurance (G) |

**PREVENTION**

13.217 Family Planning Projects (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.246 Migrant Health Centers Grants (B)
13.260 Family Planning Services (B)
13.268 Childhood Immunization Grants (B)
13.612 Native American Programs—Financial Assistance Grants (B)
13.628 Child Abuse and Neglect Prevention and Treatment (A,B)
13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A)
13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services (A)
13.645 Child Welfare Services—State Grants (A)
13.714 Medical Assistance Program (A)
13.773 Medicare—Hospital Insurance (C)
13.774 Medicare—Supplementary Medical Insurance (C)
13.808 Assistance Payments—Maintenance Assistance (A)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
15.103 Indian Social Services—Child Welfare Assistance (D)
15.113 Indian Social Services—General Assistance (D)
16.005 Public Education on Drug Abuse—Information (K)
64.008 Veterans Domiciliary Care (J)
72.010 Mini-Grant Program (B)
72.011 State Office of Voluntary Citizen Participation (B)
72.013 Technical Assistance Program (B)
81.042 Weatherization Assistance for Low-Income Persons (B)

**PUBLIC ASSISTANCE**

13.808 Assistance Payments—Maintenance Assistance (A)
13.814 Refugee Assistance—State Administered Programs (D)
13.815 Refugee Assistance—Voluntary Agency Programs (B)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.818 Low-Income Home Energy Assistance (A)
15.144 Indian Child Welfare Act—Title II Grants (B)
72.013 Technical Assistance Program (B)

**REFUGEES, ALIEN SERVICES**

13.814 Refugee Assistance—State Administered Programs (D)
13.815 Refugee Assistance—Voluntary Agency Programs (B)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.987 Health Programs for Refugees (B)
16.400 Citizenship Education and Training (L)
17.202 Certification of Foreign Workers for Temporary Agricultural and Logging Employment (J,N)
17.203 Certification for Immigrant Workers (J)

**RESEARCH, DEMONSTRATION**

13.608 Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B)
13.628 Child Abuse and Neglect Prevention and Treatment (A,B)
13.632 Administration on Developmental Disabilities—University Affiliated Facilities (B)
13.647 Social Services Research and Demonstration (B)
13.648 Child Welfare Services Training Grants (B)
13.652 Administration for Children, Youth and Families—Adoption Opportunities (B)
13.766 Health Financing Research, Demonstrations and Experiments (B)
13.810 Assistance Payments—State and Local Training (A)
13.812 Assistance Payments—Research (B)
13.974 Family Planning Services Delivery Improvement Research Grants (B)
16.601 Corrections—Training and Staff Development (B,J,L,M)
72.005 National Center for Service-Learning (B,J,K,L,M)
72.011 State Office of Voluntary Citizen Participation (B)
84.129 Rehabilitation Training (B)
84.133 National Institute of Handicapped Research (B)

**SOCIAL SECURITY AND INSURANCE**

13.773 Medicare—Hospital Insurance (C)
13.774 Medicare—Supplementary Medical Insurance (C)
13.802 Social Security—Disability Insurance (D)
13.803 Social Security—Retirement Insurance (D)
13.804 Social Security—Special Benefits for Persons Aged 72 and Over (D)
13.805 Social Security—Survivors Insurance (D)
13.807 Supplemental Security Income (D)
16.571 Public Safety Officers' Benefits Program (D)
17.103 Pension and Welfare Benefit Programs (L)
17.202 Certification of Foreign Workers for Temporary Agricultural and Logging Employment (J,N)
17.302 Longshoremen's and Harbor Workers' Compensation (D)
17.307 Coal Mine Workers' Compensation (D)
57.001 Social Insurance for Railroad Workers (D)
57.002 Benefits for Milwaukee Railroad Workers (D,J)
64.103 Life Insurance for Veterans (E,G)
64.105 Pension to Veterans Surviving Spouses, and Children (D)
86.001 Pension Plan Termination Insurance (G)

**SPECIALIZED FAMILY AND CHILD WELFARE SERVICES**

13.228 Indian Health Services—Health Management Development Program (B)
13.246 Migrant Health Centers Grants (B)
13.658 Foster Care—Title IV—E (A)
13.659 Adoption Assistance (A)
13.667 Social Services Block Grant (A)
13.814 Refugee Assistance—State Administered Programs (D)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
13.974 Family Planning Services Delivery Improvement Research Grants (B)
13.987 Health Programs for Refugees (B)
13.995 Adolescent Family Life Demonstration Projects (B)
15.103 Indian Social Services—Child Welfare Assistance (D)
15.113 Indian Social Services—General Assistance (D)
15.144 Indian Child Welfare Act—Title II Grants (B)
17.230 Migrant and Seasonal Farmworkers (A,B)
17.234 Employment and Training—Indians and Native Americans (A,B)
23.013 Appalachian Child Development (B)
72.013 Technical Assistance Program (B)
84.011 Migrant Education—Basic State Formula Grant Program (A)
84.132 Centers for Independent Living (B)
84.133 National Institute of Handicapped Research (B)

**SPECIALIZED SERVICES**

13.661 Native American Programs—Research, Demonstration, and Evaluation (B)
13.668 Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B)
13.818 Low-Income Home Energy Assistance (A)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.983 Health Facility Energy Cost Management (K,L)
13.984 Grants for Establishment of Departments of Family Medicine (B)
13.987 Health Programs for Refugees (B)
16.400 Citizenship Education and Training (L)
23.012 Appalachian Vocational and Other Education Facilities and Operations (B)
57.002 Benefits for Milwaukee Railroad Workers (D,J)
72.003 Volunteers in Service to America (J)
72.010 Mini-Grant Program (B)
72.012 Volunteer Demonstration Program (B)
72.013 Technical Assistance Program (B)
81.042 Weatherization Assistance for Low-Income Persons (B)
84.121 Vocational Education—State Planning and Evaluation (A)
84.132 Centers for Independent Living (B)
84.133 National Institute of Handicapped Research (B)

84.144 Migrant Education—Interstate and Intrastate Coordination Program (B)
84.146 Transition Program for Refugee Children (A,C)
84.149 Migrant Education—College Assistance Migrant Program (B)

TRAINING ASSISTANCE

13.244 Mental Health Clinical or Service Related Training Grants (B)
13.260 Family Planning Services (B)
13.274 Alcohol Clinical or Service Related Training Programs (B)
13.648 Child Welfare Services Training Grants (B)
13.662 Native American Programs—Training and Technical Assistance (B)
13.668 Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B)
13.810 Assistance Payments—State and Local Training (A)
13.824 Area Health Education Centers (B)
16.601 Corrections—Training and Staff Development (B,J,L,M)
17.201 Apprenticeship Training (K)
23.012 Appalachian Vocational and Other Education Facilities and Operations (B)
72.005 National Center for Service-Learning (B,J,K,L,M)
72.011 State Office of Voluntary Citizen Participation (B)
84.129 Rehabilitation Training (B)
84.136 Legal Training for the Disadvantaged (B)

VETERANS SERVICES

12.500 U.S. Soldiers' and Airmen's Home (J)
17.102 Veterans Reemployment Rights (K,L,N)
17.207 Employment Service (A,J,K)
17.800 Exemplary Rehabilitation Certificates (J)
27.002 Federal Employment Assistance for Veterans (O)
64.005 Grants to States for Construction of State Home Facilities (B)
64.007 Blind Veterans Rehabilitation Centers (J)
64.008 Veterans Domiciliary Care (J)
64.010 Veterans Nursing Home Care (J)
64.019 Veterans Rehabilitation—Alcohol and Drug Dependence (J)
64.022 Veterans Hospital Based Home Care (J)
64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)
64.101 Burial Expenses Allowance for Veterans (C)
64.102 Compensation for Service-Connected Deaths for Veterans' Dependents (D)
64.103 Life Insurance for Veterans (E,G)
64.104 Pension for Non-Service-Connected Disability for Veterans (D)
64.105 Pension to Veterans Surviving Spouses, and Children (D)
64.106 Specially Adapted Housing for Disabled Veterans (C)
64.109 Veterans Compensation for Service-Connected Disability (D)
64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)
64.111 Veterans Educational Assistance (C)
64.115 Veterans Information and Assistance (K)
64.116 Vocational Rehabilitation for Disabled Veterans (D,E)
64.117 Dependents Educational Assistance (C)
64.118 Veterans Housing—Direct Loans for Disabled Veterans (E)
64.200 Memorial Plots and Memorial Markers (J)
64.201 National Cemeteries (J)
64.202 Procurement of Headstones and Markers (J)
64.203 State Cemetery Grants (B)

YOUTH SERVICES

10.500 Cooperative Extension Service (A)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.623 Administration for Children, Youth and Families—Runaway Youth (B)
13.659 Adoption Assistance (A)
13.995 Adolescent Family Life Demonstration Projects (B)
15.103 Indian Social Services—Child Welfare Assistance (D)
17.201 Apprenticeship Training (K)
17.207 Employment Service (A,J,K)
17.230 Migrant and Seasonal Farmworkers (A,B)
17.232 Comprehensive Employment and Training Programs (A,B)
23.012 Appalachian Vocational and Other Education Facilities and Operations (B)
23.013 Appalachian Child Development (B)
27.004 Federal Employment for Disadvantaged Youth—Summer (O)
27.006 Federal Summer Employment (O)
72.005 National Center for Service-Learning (B,J,K,L,M)
84.044 Talent Search (B)
84.047 Upward Bound (B)
84.052 Vocational Education—Special Programs for the Disadvantaged (A)
84.067 Use of Technology in Basic Skills Instruction (B)
84.146 Transition Program for Refugee Children (A,C)

## INFORMATION AND STATISTICS

CENSUS DATA

11.001 Census Bureau Data Products (L)
11.002 Census Data User Services (K,L,M)
11.003 Census Geography (J,L)
11.004 Census Intergovernmental Services (K,L,M)
11.005 Census Special Tabulations and Services (J,L)
11.006 Personal Census Search (J)

GENERAL

10.025 Plant and Animal Disease and Pest Control (J,L)
10.153 Market News (L)
10.155 Marketing Agreements and Orders (J,K)
10.250 Agricultural and Rural Economic Research (L)
10.700 National Agricultural Library (L)
10.903 Soil Survey (L)
10.907 Snow Survey and Water Supply Forecasting (L)
10.908 Inventory and Monitoring (L)
10.950 Agriculture Statistical Reports (L)
11.001 Census Bureau Data Products (L)
11.002 Census Data User Services (K,L,M)
11.003 Census Geography (J,L)
11.004 Census Intergovernmental Services (K,L,M)
11.005 Census Special Tabulations and Services (J,L)
11.025 Measures and Analyses of the U.S. Economy (L)
11.050 Business Assistance, Services, and Information (K)
11.100 Export Licensing Service and Information (K)
11.108 International Trade Promotion (K)
11.303 Economic Development—Technical Assistance (B)
11.306 Economic Development—District Operational Assistance (B)
11.400 Geodetic Surveys and Services (J,K,L)
11.401 Nautical Charts and Related Data (J,K,L)
11.411 Fishery Cooperative Services (K,L)
11.428 Intergovernmental Climate—Demonstration Project (B)
11.603 National Standard Reference Data System (L)
11.604 Standard Reference Materials (L)
11.606 Weights and Measures Service (K,L,M)
11.650 National Technical Information Service (L)
11.651 Science Information Exchange, Inc. (L)
11.900 Patent and Trademark Technical Information Dissemination (L)
12.104 Flood Plain Management Services (K,L)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.600 Administration for Children, Youth and Families—Head Start (B)
13.983 Health Facility Energy Cost Management (K,L)
15.130 Indian Education—Assistance to Schools (C)
15.142 Self Determination Grants—Indian Tribal Governments (B)
15.143 Training and Technical Assistance—Indian Tribal Governments (B,J,K,M)
15.604 Fishery Research—Information (L)
15.609 Wildlife Technical Assistance (K,L,M)
15.610 Wildlife Ecology Research Information (L)

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|---|---|
| 15.800 | Geologic and Mineral Resource Surveys and Mapping (J,L) |
| 15.801 | Cartographic Information (L) |
| 15.803 | National Mapping, Geography and Surveys (J,L) |
| 15.804 | Water Resources Investigations (J,L) |
| 15.850 | Indian Arts and Crafts Development (I,K,N) |
| 15.915 | Technical Preservation Services (J,K,L) |
| 15.916 | Outdoor Recreation—Acquisition, Development and Planning (B) |
| 15.917 | Recreation—Technical Assistance (K,L,M) |
| 15.950 | National Water Research and Development Program (B) |
| 15.953 | Water Resources Scientific Information Center (L) |
| 16.003 | Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L) |
| 16.005 | Public Education on Drug Abuse—Information (K) |
| 16.200 | Community Relations Service (K) |
| 16.305 | Law Enforcement Assistance—Uniform Crime Reports (L) |
| 16.551 | Statistics on Crime and Criminal Justice (L) |
| 16.603 | Corrections—Technical Assistance (B,J,L) |
| 17.002 | Labor Force Statistics (L) |
| 17.003 | Prices and Cost of Living Data (L) |
| 17.004 | Productivity and Technology Data (L) |
| 17.005 | Wages and Industrial Relations Data (L) |
| 17.006 | Economic Growth Data (L) |
| 17.100 | Labor-Management Relations Services (K,L) |
| 20.600 | State and Community Highway Safety (A) |
| 21.004 | Federal Tax Information for State Tax Officials (J) |
| 21.005 | Individual Tax Model (J) |
| 21.051 | Alcohol, Tobacco, and Firearms—Laboratory Analysis (J) |
| 39.004 | National Archives Reference Services (I,K,L) |
| 39.008 | Federal Information Center (L) |
| 40.001 | Depository Libraries for Government Publications (L) |
| 40.002 | Government Publications—Sales and Distribution (H,L) |
| 41.001 | Interstate Commerce—Cooperative Enforcement Agreements With States (L) |
| 42.003 | Distribution of Library of Congress Cataloging (L) |
| 42.005 | Library of Congress Publications (L) |
| 42.006 | Library of Congress Research Services (K,L) |
| 42.007 | Reference Services in Science and Technology (L) |
| 43.001 | Aerospace Education Services Project (L) |
| 43.002 | Technology Transfer (L) |
| 45.125 | Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations (B) |
| 45.128 | Promotion of the Humanities—Planning and Assessment Studies Program (B) |
| 66.007 | Air Pollution Control—National Ambient Air and Source Emission Data (J) |
| 66.009 | Air Pollution Control—Technical Information Services (L) |
| 66.423 | Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications (M) |
| 66.425 | Drinking Water Supply—Technical Assistance (K,L) |
| 77.001 | Radiation Control—Training Assistance and Advisory Counseling (K,L,M) |
| 78.002 | Commodity Futures Market Reports (L) |
| 78.004 | Commodity Futures Reparations Claims (N) |
| 81.003 | Granting of Patent Licenses (L) |
| 81.023 | Information Services—Exhibits, Public Speakers, and Publications (L) |
| 81.029 | Uranium Industry Seminars (L) |
| 81.036 | Energy-Related Inventions (B,I,K,L) |
| 81.039 | National Energy Information Center (L) |
| 83.003 | Public Education Assistance Program (B) |
| 83.507 | Industrial Preparedness Planning (L,M) |
| 83.509 | National Shelter Survey (J) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |

### LIBRARIES, CLEARINGHOUSES, ARCHIVES

| | |
|---|---|
| 11.650 | National Technical Information Service (L) |
| 13.243 | Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L) |
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 15.917 | Recreation—Technical Assistance (K,L,M) |
| 16.542 | National Institute for Juvenile Justice and Delinquency Prevention (B) |
| 29.001 | Clearinghouse Services, Civil Rights Discrimination Complaints (L) |
| 39.004 | National Archives Reference Services (I,K,L) |
| 39.006 | National Historical Publications and Records Grants (B) |
| 40.001 | Depository Libraries for Government Publications (L) |
| 40.002 | Government Publications—Sales and Distribution (H,L) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 81.002 | Motion Picture Film Libraries (L) |
| 81.003 | Granting of Patent Licenses (L) |
| 81.023 | Information Services—Exhibits, Public Speakers, and Publications (L) |
| 81.039 | National Energy Information Center (L) |
| 81.062 | National Clubs, Organizations and Associations Energy Awareness Projects (K,L) |
| 84.034 | Public Library Services (A) |
| 84.035 | Interlibrary Cooperation (A) |
| 84.091 | Strengthening Research Library Resources (B) |
| 84.125 | Clearinghouse on the Handicapped (K,L) |

### LIBRARY OF CONGRESS AND SMITHSONIAN SERVICES

| | |
|---|---|
| 11.651 | Science Information Exchange, Inc. (L) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 42.002 | Copyright Service (L) |
| 42.003 | Distribution of Library of Congress Cataloging (L) |
| 42.005 | Library of Congress Publications (L) |
| 42.006 | Library of Congress Research Services (K,L) |
| 42.007 | Reference Services in Science and Technology (L) |
| 60.001 | Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M) |
| 60.007 | Museums—Assistance and Advice (B,K,L,M) |
| 60.013 | Smithsonian Institution Traveling Exhibition Service (I,J) |

## LAW, JUSTICE AND LEGAL SERVICES

### LAW ENFORCEMENT-PLANNING AND OPERATIONS

| | |
|---|---|
| 13.775 | State Medicaid Fraud Control Units (A) |
| 15.220 | Law Enforcement (B) |
| 15.250 | Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C) |
| 15.613 | Marine Mammal Grant Program (B) |
| 16.540 | Juvenile Justice and Delinquency Prevention—Allocation to States (A) |
| 16.541 | Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance (B) |
| 16.542 | National Institute for Juvenile Justice and Delinquency Prevention (B) |
| 16.553 | Federal Statistics and Information Policy (B,L) |
| 16.562 | Criminal Justice Research and Development—Graduate Research Fellowships (B) |
| 16.603 | Corrections—Technical Assistance (B,J,L) |
| 66.603 | Loan Guarantees for Construction of Treatment Works (F) |

### LAW ENFORCEMENT-RESEARCH, EDUCATION, TRAINING

| | |
|---|---|
| 15.220 | Law Enforcement (B) |
| 15.602 | Conservation Law Enforcement Training Assistance (M) |
| 16.004 | Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M) |
| 16.300 | Law Enforcement Assistance—FBI Advanced Police Training (M) |
| 16.302 | Law Enforcement Assistance—FBI Field Police Training (M) |
| 16.542 | National Institute for Juvenile Justice and Delinquency Prevention (B) |
| 16.550 | Criminal Justice Statistics Development (B) |
| 16.560 | Justice Research and Development Project Grants (B,L) |

| | |
|---|---|
| 16.561 | National Institute of Justice Visiting Fellowships (B) |
| 16.562 | Criminal Justice Research and Development—Graduate Research Fellowships (B) |
| 16.601 | Corrections—Training and Staff Development (B,J,L,M) |
| 16.602 | Corrections—Research and Evaluation and Policy Formulation (B,J,L) |
| 16.603 | Corrections—Technical Assistance (B,J,L) |
| 21.052 | Alcohol, Tobacco, and Firearms—Training Assistance (M) |
| 21.100 | Secret Service—Training Activities (M) |

### LAW ENFORCEMENT-NARCOTICS AND DANGEROUS DRUGS

| | |
|---|---|
| 16.001 | Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L) |
| 16.002 | Law Enforcement Assistance—Narcotics and Dangerous Drugs—State Legislation (K) |
| 16.003 | Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L) |
| 16.004 | Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M) |
| 16.005 | Public Education on Drug Abuse—Information (K) |

### LAW ENFORCEMENT-CRIME ANALYSIS AND DATA

| | |
|---|---|
| 16.001 | Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L) |
| 16.301 | Law Enforcement Assistance—FBI Crime Laboratory Support (J,M) |
| 16.303 | Law Enforcement Assistance—FBI Fingerprint Identification (J) |
| 16.304 | Law Enforcement Assistance—National Crime Information Center (J) |
| 16.305 | Law Enforcement Assistance—Uniform Crime Reports (L) |
| 16.542 | National Institute for Juvenile Justice and Delinquency Prevention (B) |
| 16.551 | Statistics on Crime and Criminal Justice (L) |
| 16.553 | Federal Statistics and Information Policy (B,L) |
| 16.560 | Justice Research and Development Project Grants (B,L) |
| 21.051 | Alcohol, Tobacco, and Firearms—Laboratory Analysis (J) |

### LEGAL SERVICES-GENERAL SERVICES

| | |
|---|---|
| 13.675 | Civil Rights Compliance Activities (L,N) |
| 15.144 | Indian Child Welfare Act—Title II Grants (B) |
| 16.100 | Desegregation of Public Education (J) |
| 16.104 | Protection of Voting Rights (J) |
| 16.105 | Civil Rights of Institutionalized Persons (J) |
| 16.200 | Community Relations Service (K) |

### LEGAL SERVICES-EMPLOYMENT RIGHTS

| | |
|---|---|
| 16.100 | Desegregation of Public Education (J) |
| 16.101 | Equal Employment Opportunity (J) |
| 16.570 | Civil Rights Compliance Activities (J,N) |
| 17.301 | Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N) |
| 29.001 | Clearinghouse Services, Civil Rights Discrimination Complaints (L) |
| 30.001 | Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (N) |
| 30.002 | Employment Discrimination—State and Local Anti-Discrimination Agency Contracts (C) |
| 30.005 | Employment Discrimination—Private Bar Program (J) |
| 30.008 | Employment Discrimination—Age Discrimination in Employment (K,N) |
| 30.010 | Employment Discrimination—Equal Pay Act (K,N) |

### LEGAL SERVICES-LABOR MANAGEMENT RELATIONS

| | |
|---|---|
| 16.101 | Equal Employment Opportunity (J) |
| 16.570 | Civil Rights Compliance Activities (J,N) |
| 17.101 | Labor Organization Reports (K,L,N) |
| 17.303 | Minimum Wage and Hour Standards (K,N) |
| 17.308 | Farm Labor Contractor Registration (K,N) |
| 34.001 | Labor Mediation and Conciliation (J,K) |
| 46.001 | Labor-Management Relations (J,N) |

### LEGAL SERVICES-HOUSING RIGHTS

| | |
|---|---|
| 14.400 | Equal Opportunity in Housing (N) |
| 14.402 | Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (N) |
| 16.103 | Fair Housing and Equal Credit Opportunity (J) |
| 16.570 | Civil Rights Compliance Activities (J,N) |
| 29.001 | Clearinghouse Services, Civil Rights Discrimination Complaints (L) |

### LEGAL SERVICES-CLAIMS AGAINST FOREIGN GOVERNMENTS

| | |
|---|---|
| 11.410 | Fishermen's Guaranty Fund (G) |
| 19.200 | Claims Against Foreign Governments (J) |
| 37.010 | Vietnam Claims Program (J) |

## NATURAL RESOURCES

### MINERAL RESEARCH

| | |
|---|---|
| 10.910 | Rural Abandoned Mine Program (C,K) |
| 11.425 | Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) |
| 15.207 | Mineral Leasing (I) |
| 15.214 | Non-Sale Disposals of Mineral Material (H) |
| 15.215 | Sale of Mineral Material (H) |
| 15.252 | Abandoned Mine Land Reclamation (AMLR) Program (A,B) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |
| 81.049 | Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) |
| 81.057 | University Coal Research (B) |

### WATER CONSERVATION AND RESEARCH

| | |
|---|---|
| 10.062 | Water Bank Program (C) |
| 10.063 | Agricultural Conservation Program (C) |
| 10.068 | Rural Clean Water Program (C) |
| 10.409 | Irrigation, Drainage, and Other Soil and Water Conservation Loans (F) |
| 10.414 | Resource Conservation and Development Loans (F) |
| 10.416 | Soil and Water Loans (F) |
| 10.900 | Great Plains Conservation (C,K) |
| 10.901 | Resource Conservation and Development (B,K) |
| 10.902 | Soil and Water Conservation (K) |
| 10.905 | Plant Materials for Conservation (H) |
| 10.906 | River Basin Surveys and Investigations (J,K) |
| 10.909 | Resource Appraisal and Program Development (B,L) |
| 10.910 | Rural Abandoned Mine Program (C,K) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 11.419 | Coastal Zone Management Program Administration (B) |
| 11.425 | Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) |
| 11.426 | Financial Assistance for Marine Pollution Research (B) |
| 12.110 | Planning Assistance to States (J) |
| 15.804 | Water Resources Investigations (J,L) |
| 15.950 | National Water Research and Development Program (B) |
| 15.951 | Water Resources Research and Technology—Assistance to State Institutes (A) |
| 15.952 | Water Research and Technology—Matching Funds to State Institutes (B) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |
| 65.001 | Water Resources Planning (A) |

### COMMUNITY WATER SUPPLY SERVICES

| | |
|---|---|
| 10.411 | Rural Housing Site Loans (E,F) |

| | |
|---|---|
| 10.418 | Water and Waste Disposal Systems for Rural Communities (B,E) |
| 10.901 | Resource Conservation and Development (B,K) |
| 10.904 | Watershed Protection and Flood Prevention (B,K) |
| 10.906 | River Basin Surveys and Investigations (J,K) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 14.125 | Mortgage Insurance—Land Development and New Communities (F) |
| 14.207 | New Communities—Loan Guarantees (F) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 14.228 | Community Development Block Grants/State's Program (A) |
| 15.503 | Small Reclamation Projects (B,E) |
| 15.613 | Marine Mammal Grant Program (B) |
| 15.804 | Water Resources Investigations (J,L) |
| 15.916 | Outdoor Recreation—Acquisition, Development and Planning (B) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |
| 65.001 | Water Resources Planning (A) |
| 66.425 | Drinking Water Supply—Technical Assistance (K,L) |
| 66.432 | State Public Water System Supervision Program Grants (B) |
| 66.433 | State Underground Water Source Protection—Program Grants (B) |
| 66.438 | Construction Management Assistance Grants (A) |
| 66.505 | Water Pollution Control—Research, Development, and Demonstration Grants (B) |
| 66.506 | Safe Drinking Water Research and Demonstration Grants (B) |
| 66.507 | Toxic Substances Research Grants (B) |
| 83.516 | Disaster Assistance (B,I,J) |

### COMMUNITY SEWAGE TREATMENT ASSISTANCE

| | |
|---|---|
| 10.411 | Rural Housing Site Loans (E,F) |
| 10.415 | Rural Rental Housing Loans (F) |
| 10.418 | Water and Waste Disposal Systems for Rural Communities (B,E) |
| 10.902 | Soil and Water Conservation (K) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 15.503 | Small Reclamation Projects (B,E) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |
| 66.603 | Loan Guarantees for Construction of Treatment Works (F) |

### WILDLIFE RESEARCH AND PRESERVATION

| | |
|---|---|
| 10.901 | Resource Conservation and Development (B,K) |
| 10.904 | Watershed Protection and Flood Prevention (B,K) |
| 10.905 | Plant Materials for Conservation (H) |
| 11.405 | Anadromous and Great Lakes Fisheries Conservation (B) |
| 11.407 | Commercial Fisheries Research and Development (A) |
| 11.420 | Coastal Zone Management Estuarine Sanctuaries (B) |
| 15.206 | Mineral Privileges (I) |
| 15.219 | Wildlife Habitat Management Technical Assistance (B) |
| 15.503 | Small Reclamation Projects (B,E) |
| 15.600 | Anadromous Fish Conservation (B) |
| 15.601 | Animal Damage Control (J,K,L,M) |
| 15.602 | Conservation Law Enforcement Training Assistance (M) |
| 15.603 | Farm Fish Pond Management (H) |
| 15.604 | Fishery Research—Information (L) |
| 15.605 | Fish Restoration (A,B) |
| 15.606 | Migratory Bird Banding and Data Analysis (L) |
| 15.607 | Environmental Contaminant Evaluation (K,L,M) |
| 15.608 | Sport Fish Technical Assistance (J) |
| 15.609 | Wildlife Technical Assistance (K,L,M) |
| 15.610 | Wildlife Ecology Research Information (L) |
| 15.611 | Wildlife Restoration (A,B) |
| 15.612 | Endangered Species Conservation (B) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |

### LAND CONSERVATION

| | |
|---|---|
| 10.054 | Emergency Conservation Program (C) |
| 10.063 | Agricultural Conservation Program (C) |
| 10.409 | Irrigation, Drainage, and Other Soil and Water Conservation Loans (F) |
| 10.414 | Resource Conservation and Development Loans (F) |
| 10.416 | Soil and Water Loans (F) |
| 10.900 | Great Plains Conservation (C,K) |
| 10.901 | Resource Conservation and Development (B,K) |
| 10.902 | Soil and Water Conservation (K) |
| 10.905 | Plant Materials for Conservation (H) |
| 10.910 | Rural Abandoned Mine Program (C,K) |
| 11.419 | Coastal Zone Management Program Administration (B) |
| 11.425 | Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) |
| 12.110 | Planning Assistance to States (J) |
| 15.910 | National Natural Landmarks Program (J,L) |
| 23.010 | Appalachian Mine Area Restoration (B) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |

### RECREATION

| | |
|---|---|
| 10.405 | Farm Labor Housing Loans and Grants (B,F) |
| 10.406 | Farm Operating Loans (F) |
| 10.407 | Farm Ownership Loans (F) |
| 10.413 | Recreation Facility Loans (F) |
| 10.414 | Resource Conservation and Development Loans (F) |
| 10.415 | Rural Rental Housing Loans (F) |
| 10.419 | Watershed Protection and Flood Prevention Loans (F) |
| 10.900 | Great Plains Conservation (C,K) |
| 10.901 | Resource Conservation and Development (B,K) |
| 10.904 | Watershed Protection and Flood Prevention (B,K) |
| 11.401 | Nautical Charts and Related Data (J,K,L) |
| 11.421 | Coastal Energy Impact Program—Formula Grants (A) |
| 11.424 | Coastal Energy Impact Program—Environmental Grants (B) |
| 12.107 | Navigation Projects (J) |
| 15.218 | Special Recreation Permits (I) |
| 15.503 | Small Reclamation Projects (B,E) |
| 15.605 | Fish Restoration (A,B) |
| 15.606 | Migratory Bird Banding and Data Analysis (L) |
| 15.608 | Sport Fish Technical Assistance (J) |
| 15.916 | Outdoor Recreation—Acquisition, Development and Planning (B) |
| 15.917 | Recreation—Technical Assistance (K,L,M) |
| 20.001 | Boating Safety (J,L,M) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |

## REGIONAL DEVELOPMENT

### ECONOMIC DEVELOPMENT

| | |
|---|---|
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 23.009 | Appalachian Local Development District Assistance (B) |
| 23.011 | Appalachian State Research, Technical Assistance, and Demonstration Projects (B) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |

62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### PLANNING AND TECHNICAL ASSISTANCE

13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.009 Appalachian Local Development District Assistance (B)
23.011 Appalachian State Research, Technical Assistance, and Demonstration Projects (B)
23.013 Appalachian Child Development (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### LAND ACQUISITION AND REHABILITATION AND FACILITIES CONSTRUCTION

23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.010 Appalachian Mine Area Restoration (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### TRANSPORTATION

23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.003 Appalachian Development Highway System (B)
23.008 Appalachian Local Access Roads (B)
23.017 Appalachian Special Transportation Related Planning, Research and Demonstration Program (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### ENERGY

13.818 Low-Income Home Energy Assistance (A)
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### HOUSING

23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.005 Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### EDUCATION

23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.012 Appalachian Vocational and Other Education Facilities and Operations (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)
85.001 Harry S. Truman Scholarship Program (C)

### HEALTH AND NUTRITION

23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.004 Appalachian Health Programs (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

### RESOURCE DEVELOPMENT

23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B)
23.009 Appalachian Local Development District Assistance (B)
23.011 Appalachian State Research, Technical Assistance, and Demonstration Projects (B)
62.004 Tennessee Valley Region—Economic and Community Development (K,L)
62.005 Tennessee Valley Region—Natural Resources Development (K,L)

## SCIENCE AND TECHNOLOGY

### RESEARCH, GENERAL

11.426 Financial Assistance for Marine Pollution Research (B)
47.041 Engineering Grants (B)
47.049 Mathematical and Physical Sciences (B)
47.051 Biological, Behavioral, and Social Sciences (B)
47.053 Scientific, Technological, and International Affairs (B)
47.059 Visiting Professorships for Women in Science and Engineering (B)
47.060 Research Improvement in Minority Institutions (B)
60.001 Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M)
64.001 Biomedical Research (I)
84.067 Use of Technology in Basic Skills Instruction (B)
84.120 Minority Institutions Science Improvement Program (B)

### RESEARCH, SPECIALIZED

10.207 Animal Health and Disease Research (A)
11.417 Sea Grant Support (B)
11.551 Public Telecommunications Services Program (B)
20.002 Coast Guard Cooperative Marine Sciences Program (I)
47.050 Astronomical, Atmospheric, Earth and Ocean Sciences (B)
47.057 Minority Research Initiation (B)
47.059 Visiting Professorships for Women in Science and Engineering (B)
47.060 Research Improvement in Minority Institutions (B)
60.016 Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (B,C)
66.502 Pesticides Control Research Grants (B)
77.003 Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B)

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| 81.049 | Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B) |
| 81.057 | University Coal Research (B) |
| 84.067 | Use of Technology in Basic Skills Instruction (B) |

### INFORMATION AND TECHNICAL SERVICES

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  nautical chart surveys 11.401
  navigation aids 11.423
  navigation channels clearance 12.109
  navigation projects 12.107
  Port and Intermodal Development 20.801
  port facilities development 20.801
Water pollution
  Appalachia mine drainage 23.010
  beach erosion control 12.101
  consolidated air, water, solid waste activities 66.600
  Consolidated Program Support Grants 66.600
  construction management 66.438
  construction, municipal sewage treatment works 66.603
  Federal computer data system (STORET) training 66.423
  methods to reduce water pollution 10.068
  research 66.505
  Section 106 Grants 66.419
  Section 208 Grants 66.426
  Small Beach Erosion Control Projects 12.101
  State Delegation Program 66.438
  State, areawide water quality management 66.426
  State, interstate agency programs 66.419
  STORET—STOrage and RETrieval System 66.423
  waste water reclamation research 66.505
  Water Quality Control Information System 66.423
Water resources
  agricultural water management 10.901
  comprehensive Federal-State planning 65.001
  conservation loans 10.409
  conservation, development 10.414
  flood plain 10.906
  flood plain management 12.104
  geodetic control surveys 11.400
  geology 15.804
  Great Plains conservation 10.900
  matching grant program 15.952
  national assessment 10.908
  PL-566 Program 10.904
  planning assistance 12.110, 15.804
  research 15.950, 15.951, 15.952, 15.953
  River Basin Program 10.906
  Scientific Information Center (WRSIC) 15.953
  seasonal supplies 10.907
  soil, water conservation 10.416, 10.902
  technical information 15.804
  Title III—State Water Management Planning Program 65.001
  water conservation inventory 10.909
  water resources development 10.910
  water resources planning 65.001
  watershed projects 10.904
Water supply
  contamination 66.506
  drinking water supply 66.425, 66.506
  pollution control 10.906
  research 66.506
  technical assistance, regulatory agencies 66.425
  underground injection control 66.433
Water systems and treatment
  basic facilities 66.425
  construction, public facilities 11.300
  development and implementation 66.432
  new community site development 14.153
Weatherization 14.218, 14.219, 81.042
Weights and measures, *see,* Measurement standards
Welfare and social services
  blind, income support 13.808
  child care 13.646, 13.658
  Community Action Programs 72.012
  Demonstration Grants 72.012
  developmental disabilities 13.630, 13.631, 13.632
  emergency welfare assistance 13.808
  fuel assistance 13.818
  home energy subsidies 13.818
  medical assistance (Medicaid) 13.714
  permanently, totally disabled 13.808
  personnel development 84.129
  public program support 13.808
  special volunteer programs 72.012

  volunteer students 72.005
Wheat Direct Payments 10.058
Wildlife, *see*, Fish, wildlife
Women
  apprenticeship training 17.201
  education research 84.117
  educational equity 84.083
  employment discrimination 17.700
  employment training 13.646
  expansion of minority enterprise 11.800, 59.032
  job equality 84.048
  job opportunities 17.243, 17.700
  job placement 13.646
  mini-grants 72.010
  nontraditional jobs 17.700
  science education 47.059
  science fellowships 47.009
  scientific research 47.059
  sex bias in vocational education programs 84.050
  sex discrimination 84.083
  special employment assistance 17.700
  volunteer services 17.700
  Women's Business Enterprise 59.032
  working conditions 17.700
Wool and Mohair payments 10.059
Worker compensation
  black lung benefits 17.307
  coal miners 13.806, 17.307, 17.600
  coal miners surviving dependents 17.307
  longshoremen, harbor workers 17.302
  miners compensation, disability, death 17.307
  public safety officers benefits 16.571
  railroad workers 57.001, 57.002
Worker safety, *see*, Occupational Safety and health

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Youth programs
  Appalachia, research 23.011
  apprenticeship training 17.201
  Comprehensive Employment and Training programs 17.232
  conservation corps, young adults 10.663
  disadvantaged, Federal employment 27.003
  employment 10.663, 17.207, 17.232
  Federal employment 27.001, 27.004
  Federal summer employment 27.006
  Four-H projects 10.500
  mini-grants 72.010
  President's Council on Physical Fitness and Sports 13.289
  Stay-in-School Program 27.003
  Summer Jobs in Federal Agencies 27.006
  Talent Search 84.044
  The Summer Employment Program 17.207
  training 10.663
  Upward Bound 84.047
  vocational education 23.012, 72.008, 84.052
  youth opportunity centers 17.207
  *see also*, Juvenile delinquency

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Zoological parks
  display animals 15.900
  educational and conservation projects 45.301
  modernization of facilities, operational assistance 45.301
  research and conservation programs 60.001
  surplus wildlife 15.900

# DELETED PROGRAMS

*The programs listed below are to be deleted from the Catalog. The reasons for deletion are given.*

## DEPARTMENT OF AGRICULTURE

10.060 Beekeeper Indemnity Payments—Program will not be funded in FY 83

10.150 Agricultural Product Grading—Program consolidated into 10.162

10.160 Voluntary Commodity Inspection and Grading Programs—Program consolidated into 10.162

10.161 Egg Products Inspection—Program consolidated into 10.162

10.204 Rural Development Research—Authorization to continue this program has expired

10.424 Industrial Development Grants—Program no funded in FY 82

10.426 Area Development Assistance Planning Grants—Program no longer funded in FY 82

10.432 Biomass Energy and Alcohol Fuels Loan and Loan Guarantees—Program no longer funded in FY 82

10.501 Higher Education—Land-Grant Colleges and Universities—Program no longer funded in FY 82

10.554 Equipment Assistance for School Food Service Programs—Program no longer funded in FY 82 per P.L. 97-35, Section 805

10.661 Youth Conservation Corps—Grants to States—Program no longer funded in FY 82

10.853 Community Antenna Television Loans and Loan Guarantees—Program no longer funded in FY 82

## DEPARTMENT OF COMMERCE

11.750 Cooperative Generic Technology Program—Program no longer funded in FY 82

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

13.210 Health Incentive Grants for Comprehensive Public Health Services—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.211 Crippled Children's Services—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.231 Maternal and Child Health Research—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.232 Maternal and Child Health Services—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.233 Maternal and Child Health Training—Program consoliated into 13.994—Maternal and Child Health Services Block Grant

13.235 Drug Abuse Community Service Programs—Program not funded in FY 82

13.252 Alcoholism Treatment and Rehabilitation/Occupational Alcoholism Services Programs—Program not funded in FY 82

13.254 Drug Abuse Demonstration Programs—Program not funded in FY 82

13.257 Alcohol Formula Grants—Program not funded in FY 82

13.266 Childhood Lead-Based Paint Poisoning Prevention—Program consolidated into 13.994—Maternal and Child Health Service Block Grant

13.267 Urban Rat Control—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.269 Drug Abuse Prevention Formula Grants—Program not funded in FY 82

13.275 Drug Abuse Prevention Programs—Program not funded in FY 82

13.284 Emergency Medical Services—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.287 Grants for Training in Emergency Medical Services—Funds for this program have been rescinded.

13.290 Special Alcoholism Projects to Implement the Uniform Act—Program not funded in FY 82

13.292 Sudden Infant Death Syndrome Information and Counseling Program—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.295 Community Mental Health Centers—Comprehensive Services Support—Program not funded in FY 82

13.296 Comprehensive Hemophilia Diagnostic and Treatment Centers—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.319 Dental Team Practice—Program not funded in FY 82

13.386 Nursing Capitation Grants—Program not funded in FY 82

13.634 Special Programs for the Aging—Title IV Part C—Discretionary Projects and Programs—Program consolidated into 13.668—Special Programs for the Aging—Training, Research and Discretionary Programs

13.636 Special Programs for the Aging—Title IV Part B—Research and Development—Program consolidated into 13.668—Special Programs for the Aging—Training, Research and Discretionary Program

13.637 Special Programs for the Aging—Title IV A—Training—Program consolidated into 13.668—Special Programs for the Aging—Training, Research and Discretionary Programs

13.638 Special Programs for the Aging—Title IV Part E—Multidisciplinary Centers of Gerontology—Program consolidated into 13.668—Special Programs for the Aging—Training, Research and Discretionary Programs

13.642 Social Services for Low Income and Public Assistance Recipients—Program combined into 13.667—Social Services Block Grant

13.644 Social Services Training Grants—Title XX—Program consolidated into 13.667 - Social Services Block Grant

13.650 Special Programs for the Aging—Title II, Section 204, National Clearinghouse on Aging—Authorization repealed effective December 21, 1981 (P.L. 97-115, Sec. 204)

13.813 Refugee Assistance—Cuban Program Phasedown—Program not funded in FY 82

13.816 Low Income Home Energy Assistance Program—Program transformed into a block grant, 13.818—Low Income Home Energy Assistance Program

13.851 Communicative Disorders Research—Program elements incorporated into 13.853 and 13.854

13.852 Neurological Disorders Research—Program elements incorporated into 13.853 and 13.854

13.882 High Blood Pressure Control Program—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.888 Home Health Services and Training Grant Program—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.889 Expanded Function Dental Auxiliary Training Program—Program not funded in FY 82

13.890 Genetic Diseases Testing and Counseling Services—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.898 Alcoholism Demonstration/Evaluation—Program not funded in FY 82

13.899 Alcohol Abuse Prevention Demonstration/Evaluation—Program not funded in FY 82

13.975 Adolescent Pregnancy Prevention and Services—Program consolidated into 13.994—Maternal and Child Health Services Block Grant

13.980 Preventive Health Service—Fluoridation Grants—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.981 Grants for Health Education—Risk Reduction—Program consolidated into 13.991—Preventive Health and Health Services Block Grant

13.986 Health Care Technology Research—Program not funded in FY 82

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

14.223 Indian Community Development Block Grant Program—Program consolidated into 14.229

14.225 Secretary's Discretionary Fund/Territories Program—Program consolidated into 14.229

14.227 Secretary's Discretionary Fund/Community Development Technical Assistance Grants—Program consolidated into 14.229

## DEPARTMENT OF THE INTERIOR

15.802 Minerals Discovery Loan Program—Program no longer funded in FY 82

## DEPARTMENT OF JUSTICE

16.605 Corrections—Clearinghouse—Program no longer funded in FY 82

## DEPARTMENT OF LABOR

17.104 Office of Construction Industry Services—Program no longer funded in FY 82

17.219 Institutional Grant Program—Program no longer funded in FY 82

## EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

30.006 Employment Discrimination—Compliance Program for Non-Federal Public Employers—Program no longer funded in FY 82

## FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES

37.005 Claims of Prisoners of War in Vietnam—Potential claimagibility expires March 25, 1982

## NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

45.144 Promotion of the Humanities—Residential Fellowships for College Teachers—Program not funded in FY 82

## NATIONAL SCIENCE FOUNDATION

47.038 Science Education Communication Grants—Program not funded in FY 82

47.048 Science Education Development and Research and Resources Improvement—Program not funded in FY 82

47.056 Research Improvement in Minority Institutions—Program replaced by 47.060 of the same title, which reflects considerable differences in orientation

47.058 Public Service Science and Technology—Program not funded in FY 82

## SMALL BUSINESS ADMINISTRATION

59.010 Product Disaster Loans—Repealed by Public Law 97-35

59.029 Disaster Assistance to Nonagricultural Businesses (Major Source of Employment)—Program incorporated into program 59.008

## VETERANS ADMINISTRATION

64.004 Exchange of Medical Information—Program's funding expires in FY 82

## ENVIRONMENTAL PROTECTION AGENCY

66.417 Water Pollution Control—Direct Training—Program not funded in FY 82

66.428 Water Pollution Control—Professional Training Grants—Program not funded in FY 82

66.602 Environmental Protection Consolidated Grants—Special Purpose—Program incorporated into 66.600

## NUCLEAR REGULATORY COMMISSION

77.004 Enhance Technology Advancement of Nuclear Energy Safety—Program not funded in FY 82

## DEPARTMENT OF ENERGY

81.038 Energy Information Administration Clearinghouse—Program not funded in FY 82

81.040 Grants for Offices of Consumer Services—Program not funded in FY 82

81.053 Public Utility Regulatory Innovative Rates Support—Program not funded in FY 82

81.059 Clearinghouse for Community Energy Efficiency—Program not funded in FY 82

81.066 American Indian Energy Production and Efficiency—Program not funded in FY 82

81.067 Technical Assistance for Local and Tribal Governments—Program not funded in FY 82

81.068 Biomass Loan Guarantees—Program not funded in FY 82

81.069 Gasoline Rationing—State Preimplementation Activities—Program not funded in FY 82

81.070 Energy Auditor Training and Certification Grants—Program not funded in FY 82

81.071 Emergency Energy Conservation Act Plans—Program not funded in FY 82

81.072 Conservation Retrofit Delivery—Research and Development—Program not funded in FY 82

81.073 Geothermal Technologies—Research and Development—Program not funded in FY 82

## DEPARTMENT OF EDUCATION

84.006 Teacher Centers—Program not funded in FY 82

84.008 Alcohol and Drug Abuse Education Program—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.043 Strengthening State Educational Agency Management—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.045 Teacher Corps—Operations and Training—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35 Chapter 2

84.056 Emergency School Aid Act—Basic Grants to Local Educational Agencies—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.057 Emergency School Aid Act—Grants to Nonprofit Organizations—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.058 Emergency School Aid Act—Educational Television and Radio—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.068 Indochina Refugee Children Assistance—No funding has been authorized since 1979

84.070 Ethnic Heritage Studies Program—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.074 Career Education—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.079 Education for the Use of the Metric System of Measurement—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.080 Education for Gifted and Talented Children and Youth—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.081 Community Education—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.082 Consumers' Education—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.084 Elementary and Secondary School Education in the Arts—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.088 Instructional Materials and School Library Resources—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.089 Improvement in Local Educational Practice—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.093 Emergency Adult Education Program for Indochina Refugees—No funding has been authorized since 1979

84.095 International Understanding Program—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.102 Emergency School Aid Act—Magnet Schools, University/Business Cooperation and Neutral Site Planning—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.104 Career Education State Allotment Program—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.105 Basic Skills Improvement—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.106 Emergency School Aid Act—Planning Grants—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.107 Emergency School Aid Act—Pre-Implementation Assistance Grants—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.108 Emergency School Aid Act—Out-of-Cycle Grants—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.109 Emergency School Aid Act—Special Discretionary Assistance Grants—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.110 Emergency School Aid Act—State Agency Grants—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.111 Emergency School Aid Act—Grants for the Arts—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.112 Biomedical Sciences for Talented Disadvantaged Secondary Students—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.113 Adult Education Program for Adult Immigrants—No funding has been authorized since 1979

84.114 Capacity-Building Grants for Data Systems in State Agencies—No funds have been requested since 1981

84.119 Pre-College Teacher Development In Science Program—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.122 Secretary's Discretionary Program—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.123 Law-Related Education—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.139 Cities in Schools—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

84.140 Push for Excellence—Program authorized for consolidation in the Omnibus Budget Reconciliation Act, P.L. 97-35, Chapter 2

# ADDED PROGRAMS

*The following programs are listed for inclusion in the Catalog. The reasons for addition are also given.*

## DEPARTMENT OF AGRICULTURE

10.162 Inspection Grading and Standardization (J)—Program consolidates 10.150, 10.160, and 10.161

10.163 Market Protection and Promotion (J,K,M)—Program split from 10.154

10.164 Wholesale Market Development (K)—Program split from 10.154

10.165 Perishable Agricultural Commodities Act (N)—Program split from 10.154

10.208 Alcohol Fuels Research (B)—Program authorized and funded in FY 81

10.375 Human Nutrition Information Service (L)—Program authorized and funded in FY 81

## DEPARTMENT OF COMMERCE

11.027 Productivity and Economic Growth (L)—Program is being reinstated. It was transferred from Science and Technical Research and restructured to focus on promotion of private sector effects rather than direct Federal involvement.

11.109 Trade Adjustment Assistance (TAA) (E,F)—Program is being reinstated - funding is now authorized

11.550 Public Telecommunications Facilities (B)—Program is being reinstated - funding is now authorized

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

13.110 Maternal and Child Health Federal Consolidated Programs (B)—Program newly authorized and funded in FY 82

13.111 Adolescent Family Life Research Grants (B)—Program newly authorized and funded in FY 82

13.658 Foster Care—Title IV—E (A)—Program authorized and funded in FY 82

13.665 Community Services Block Grant (A)—Block grant program established by the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35), consolidates programs of the abolished Community Services Administration

13.667 Social Services Block Grant (A)—Block grant program established by the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35), consolidates programs 13.642 and 13.644

13.668 Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B)—The re-authorization of the 1981 Older Americans Act consolidates the functions of 13.634, 13.636, 13.637 and 13.638 to create this p

13.818 Low-Income Home Energy Assistance (A)—Block grant program established by the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35), incorporates the program 13.816

13.991 Preventive Health and Health Services Block Grant (A)—Block grant program established by the Omnibus Budget Reconciliation Act of 1981's amendment to the Public Health Service Act, Title XIX, Part B

13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A)--Block grant program established by the Omnibus Budget Reconciliation Act of 1981's amendment to the Public Health Service Act, Title XIX

13.994 Maternal and Child Health Services Block Grant (A)—Block grant program established by the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35)

13.995 Adolescent Family Life Demonstration Projects (B)—Program authorized and funded in FY 82

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

14.229 Community Development Block Grants/Secretary's Discretionary Fund (B,C)—Program authorized and funded in FY 81

14.402 NonDiscrimination in Federally-Assisted Programs (On the Basis of Age) (N)—Program authorized and funded in FY 82

14.403 Community Housing Resource Board Program (B)—Program authorized and funded in FY 81

## FEDERAL MEDIATION AND CONCILIATION SERVICE

34.002 Labor—Management Cooperation (B)—Program authorized and funded in FY 81

## FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES

37.011 Second Czechoslovakian Claims Program (J)—Program authorized in FY 82

## NATIONAL SCIENCE FOUNDATION

47.059 Visiting Professorships for Women in Science and Engineering (B)—Program newly funded in FY 82

47.060 Research Improvement in Minority Institutions (B)—Program replaces 47.056 of the same title but reflects considerable differences in program orientation

## VETERANS ADMINISTRATION

64.023 Health Professional Scholarships (B)—Program newly authorized and funded in FY 82

## FEDERAL EMERGENCY MANAGEMENT AGENCY

83.515 Broadcast Station Protection Program (B)—Program authorized and funded in FY 80

## DEPARTMENT OF EDUCATION

84.151 Education Consolidation and Improvement Programs—Chapter 2 ( )—Block grant program established by the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35)

84.152 Neglected or Delinquent Transition Services (B)—Program newly funded in FY 82

# CROSSWALK OF CHANGES TO PROGRAM NUMBERS AND TITLES

*This is a list of programs that have undergone a program title or number change.*

## DEPARTMENT OF AGRICULTURE

**10.154** Market Supervision and Assistance
**10.700** National Agricultural Library

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

**13.375** Minority Biomedical Research Support
**13.633** Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers
**13.817** Entrant Assistance—Cuban and Haitian Entrants
**13.853** Clinical Research
**13.854** Biological Basis Research
**13.871** Strabismus, Amblyopia and Visual Processing
**13.973** Special Loans for Former National Health Service Corps Members to Enter Private Practice
**13.990** National Health Promotion Training Network

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**14.146** Low Income Housing—Assistance Program

## DEPARTMENT OF THE INTERIOR

**15.114** Indian Education—Higher Education Grant Program
**15.252** Abandoned Mine Land Reclamation (AMLR) Program
**15.909** Historic American Buildings Survey/Historic American Engineering Record

## NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**45.007** Promotion of the Arts—State Programs/Partnership Coordination
**45.109** Promotion of the Humanities—Fellowships for Journalists
**45.124** Promotion of the Humanities—Research Resources—Organization and Improvement Grants
**45.137** Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries

## NATIONAL SCIENCE FOUNDATION

**47.036** Intergovernmental and Public Service Science and Technology Program

## TENNESSEE VALLEY AUTHORITY

**62.004** Tennessee Valley Region—Economic and Community Development

## ENVIRONMENTAL PROTECTION AGENCY

**66.451** Hazardous Waste Management Financial Assistance to States

## FEDERAL EMERGENCY MANAGEMENT AGENCY

**83.501** State Assistance Program
**83.513** State and Local Supporting Materials

### NUMBER CHANGE

### (Due to Reorganization)

| Old Number | New Number |
|---|---|
| 14.801 | 14.168 |
| 14.802 | 14.169 |
| 14.803 | 14.170 |
| 14.804 | 14.171 |
| 16.538 | 16.571 |
| 17.208 | 17.800 |
| 17.244 | 17.801 |
| 83.001 | 83.404 |
| 83.006 | 83.405 |
| 83.103 | 83.501 |
| 83.104 | 83.502 |
| 83.200 | 83.503 |
| 83.201 | 83.504 |
| 83.203 | 83.505 |
| 83.204 | 83.506 |
| 83.205 | 83.507 |
| 83.206 | 83.508 |
| 83.207 | 83.509 |
| 83.208 | 83.510 |
| 83.209 | 83.511 |
| 83.210 | 83.512 |
| 83.211 | 83.513 |
| 83.212 | 83.514 |
| 83.300 | 83.516 |
| 84.115 | 45.301 |

# DEPARTMENT OF AGRICULTURE

## AGRICULTURE RESEARCH SERVICE

### 10.001 AGRICULTURAL RESEARCH—BASIC AND APPLIED RESEARCH

### (RMA Act-Agricultural Omnibus Bill)

**EDERAL AGENCY:** AGRICULTURE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**UTHORIZATION:** Research and Marketing Act of 1946, as amended; 7 U.S.C. 427i and 1624; Public Law 85-934; 42 U.S.C. 1891-1893; Public Law 89-106; 79 Stat. 431.

**BJECTIVES:** To make agricultural research discoveries, evaluate alternative ways of attaining goals, and provide scientific technical information.

**YPES OF ASSISTANCE:** Project Grants; Dissemination of Technical Information.

**SES AND USE RESTRICTIONS:** Patents resulting from research are available for licensing without charge to responsible individuals or organizations. Results of research are available to the public upon request after public disclosure. Research results are beneficial to national goals of dissemination and utilization of scientific knowledge.

**LIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For grants, only nonprofit institutions of higher education or nonprofit organizations whose primary purpose is conducting scientific research are eligible including those located in the U.S. Territories. Anyone is eligible for technical information including those located in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**PPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter to Agriculture Research Service, Department of Agriculture, for grants and technical information. For grants give name of applicant, location of facilities, and State of incorporation, if any. The grant portion of this program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grant Review Board considers each proposal, evaluates the qualifications of applicant in line with research to be undertaken and determines priority for final negotiations of grant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not available.

**Appeals:** None.

**Renewals:** None.

**SSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**OST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1400-0-1-352.

**Obligations:** (Grants) FY 81 $1,020,000; FY 82 est $1,020,000; and FY 83 — $1,020,000.

**Range and Average of Financial Assistance:** $15,000 to $120,000; $80,000.

**PROGRAM ACCOMPLISHMENTS:** Accomplishments from agricultural research include: Development of a new drug in the form of a pill or injection that kills pest in cattle for several months; test to diagnose caseaus lymphadenitis in sheep; development of a new method for biological control of mosquitoes; use of Gamma radiation to control insect pest on new agricultural commodities. Nematodes are controlled by applying nematicides through a sprinkler irrigation system; discovered new tools to fight bagworms; developed hand-held instrument for measuring soil salinity; crop field temperatures observed by stallite strongly affected by the availability of water for evapotransperation, nationwide program developed on nitrogen and tillage research, a guide for predicting sheet and rill erosion on forest land, improved methods for removing aflatoxin-contaminated peanuts; conversion of biomass to ethanal; ordor detectors in potato bins prevent losses in long term storage; soybean protein and availability of iron, protein requirements for older Americans; nutrient composition of ready-to-eat foods.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Bulletins, both technical and popular, are available to the public. For information on Agricultural Research, contact Agriculture Research Service, Information Division, U.S. Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4433.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See the Science and Education Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator For Agricultural Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-3656. Contact: Wayne Thrush. Telephone: (202) 436-8403.

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.207, Animal Health and Disease Research; 62.001, National Fertilizer Development.

**EXAMPLES OF FUNDED PROJECTS:** Not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 10.025 PLANT AND ANIMAL DISEASE AND PEST CONTROL

**FEDERAL AGENCY:** ANIMAL AND PLANT HEALTH INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Federal Plant Pest Act, as amended; Public Law 85-36; 7 U.S.C. 147a, 147b, 149, 150aa-jj; Plant Quarantine Act, as amended; Public Law 62-275; 7 U.S.C. 151-167; Virus - Serum Toxin Act; Public Law 62-430; 21 U.S.C. 151-158; USDA Organic Act 1956, as amended; Public Law 84-979; 21 U.S.C. 114a; Animal Welfare Act of 1970, as amended; Public Law 91-579; 7 U.S.C. 2131-2155; Horse Protection Act of 1970, as amended; Public Law 91-540; 15 U.S.C. 1821-1831; Animal Quarantine Act, as amended; 7 U.S.C. 391; 21 U.S.C. 101, 112a, 123-127; Federal Noxious Weed Act of 1974; Public Law 93-629; 7 U.S.C. 2801-2813; Act of February 28, 1947, as amended; 21 U.S.C. 114b,c.

**OBJECTIVES:** To protect U.S. agriculture from economically injurious plant and animal diseases and pests to insure the humane care and handling of all designated warm-blooded animals and to insure the safety and potency of veterinary biologics.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** APHIS conducts surveys and inspections to detect and appraise infestations, conducts or contracts for eradication and control activities, and carries out regulatory actions to prevent interstate spread of infestations. There are 24 Federal-State programs for controlling specific pests and diseases of plants and 18 programs for controlling specified diseases or pests that infect animals.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies who need Federal assistance to eradicate or control injurious plant and animal diseases and pests that are a threat to regional or national agriculture. Memoranda of understanding and cooperative agreements with these agencies are developed which outline the details of cooperation and participation on these programs. Individuals do not qualify for Federal funds in these programs. These programs are available to the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter from State(s) seeking cooperation with the Animal and Plant Health Inspection Service. Applicant must indicate the nature and severity of the problem to be considered.

**Award Procedure:** Notification by headquarters office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** State agencies share the costs of this cooperative program. The cost-sharing arrangements are developed between USDA and the cooperator in advance of the program-unless otherwise spelled out by Congress.

**Length and Time Phasing of Assistance:** Length varies.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Requirements are specifically indicated in the cooperating documents and may vary for given programs.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1600-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $298,299,098; FY 82 est $284,404,000; and FY 83 est $237,933,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Selected examples of progress: Brucellosis certified-free States-fiscal year 1981, 32 and fiscal year 1982, 33; tuberculosis-free States-fiscal year 1981, 13 and fiscal year 1982, 6; animal care inspections-fiscal year 1981, 14,601 and fiscal year 1982, 22,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Bulletins, both technical and popular, are available to the public through the U.S. Department of Agriculture, Office of Governmental and Public Affairs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Budget and Accounting Division, Animal and Plant Health Inspection Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-3191 (Use same 7-digit number for FTS). Contact: Thomas P. Moran.

**RELATED PROGRAMS:** 10.500, Cooperative Extension Service; 12.100, Aquatic Plant Control; 15.601, Animal Damage Control.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.051 COMMODITY LOANS AND PURCHASES

### (Price Supports)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Adjustment Act of 1938, 7 U.S.C. 1301-1393, Public Law 75-430; Commodity Credit Corporation Charter Act, 15 U.S.C. 714 et. seq.; Agricultural Act of 1949, 7 U.S.C. 1421 et. seq. Public Law 81-439 as amended; Food and Agriculture Act of 1965, Public Law 89-321; Public Law 90-559; Food and Agriculture Act of 1977, Public Law 95-113, Agricultural Adjustment Act of 1980, 7 U.S.C. 1444, Public Law 96-213; Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To improve and stabilize farm income, to assist in bringing about a better balance between supply and demand of the commodities, and to assist farmers in the orderly marketing of their crops.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use; Direct Loans.

**USES AND USE RESTRICTIONS:** Support loans and purchases give farmers a ready means of promoting more orderly marketing. Price support loans to producers are "nonrecourse." Producers are not obligated to make good any decline in the market price of the commodity they have put up as collateral. If market prices rise above support, producers can pay off their loan and market their commodity. If market prices fail to rise above support prices, producers can pay off the loan through forfeiture of collateral. If the commodity is stored on the farm the farmer is responsible for maintaining the condition of the commodity. Eligible commodities are feed grains, wheat, rice, rye, soybeans, honey, upland cotton, extra-long staple cotton, dairy products (purchases only), peanuts, tobacco, gum naval stores and flaxseed (purchases only).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owner, landlord, tenant, or sharecropper on a farm that has history of producing the eligible commodities, and meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Record of farming operation must be on file in the ASCS county office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** In the case of warehouse-stored commodities, farmer or Cooperative Marketing Association presents warehouse receipts to the ASCS county office (warehouse-stored peanut and tobacco loans are made through producer associations). In the case of farm-stored commodities, farmer informs the ASCS county office that he wants a loan.

**Award Procedure:** Applications are approved by the local ASCS county office upon determination that applicant and commodity are eligible and that adequate storage is available.

**Deadlines:** Loans and purchases are available for wheat, barley, oats, rye, rice, honey and farm stored peanuts through March 31 of the year following harvest and May 31 for corn, sorghum, soybeans, cotton and flaxseed.

**Range of Approval/Disapproval Time:** Approximately 3 days.

**Appeals:** Not applicable.

**Renewals:** The Grain Reserve Program extends for a period of 3-years, loans for wheat and feed grains within the national goals, when authorized.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Assistance is generally available for 9 months or less, and is disbursed on a lump-sum basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Necessary loan documents will be held at the county ASCS office.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Commodity purchases) FY 81 $2,503,277,131; FY 82 est $2,200,755,000; and FY 83 est $1,178,947,000. (Loans) FY 81 $5,623,235,615; FY 82 est $8,459,329,000; and FY 83 est $6,560,000,000.

**Range and Average of Financial Assistance:** Direct payments (Purchases): Range not available. Loans: $50 to $2,000,000;$8,957.

**PROGRAM ACCOMPLISHMENTS:** A total of 544,893 new loans were made in fiscal year 1981. The dollar volume of commodity loans and purchase transactions for fiscal year 1981 totaled $8,126,512,746 (comprised of loans made - $5,623,235,615, and purchase of commodities - $2,503,277,131).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register 7 CFR, Chapter XIV, Parts 1421, 1425, 1427, 1430, 1434, 1435, 1438, 1446, and 1464. Announcements issued to news media and letters to producers. "ASCS Commodity Fact Sheets," no cost; "The Price Support Program," BI-4-USDA, no cost; Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed under the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Price Support and Loan Division, Telephone: (202) 447-3391 (Use same 7-digit number for FTS); Inventory Management Division, Telephone: (202) 447-4018 (Use same 7-digit number for FTS), Production Adjustment Division, Telephone: (202) 447-3677 (Use same 7-digit number for FTS); Producer Association Division, Telephone: (202) 447-7413 (Use same 7-digit number for FTS); Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**RELATED PROGRAMS:** 10.056, Storage Facilities and Equipment Loans; 10.067, Grain Reserve Program; 10.155, Marketing Agreements and Orders.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.052 COTTON PRODUCTION STABILIZATION

### (Cotton Direct Payments)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Food and Agriculture Act of 1977, 7 U.S.C. 1308, 1444(f), Public Law 95-113; Wheat, Feed Grains, and Upland Cotton, Emergency Assistance, 7 U.S.C. 1444, Public Law 95-279; Agricultural Adjustment Act of 1980, Public Law 96-213; Federal Crop Insurance Act of 1980, Public Law 96-365, Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To attract the cotton production that is needed to meet domestic and foreign demand for fiber, to protect income for farmers, and to assure adequate supplies at fair and reasonable prices.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Deficiency payments are used to provide producers with a guaranteed price on planted acreage in the event average prices drop below the established or "target" price. A producer of cotton who participates can also qualify for disaster payments when prevented by natural disaster from planting, or when prevented from harvesting three-fourths of his normal production. Beginning with the 1982 crop, disaster protection is not available in counties where Federal Crop Insurance is offered.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owner, landlord, tenant, or sharecropper on a farm where the commodity is planted that meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Record of farming operation must be on file in the ASCS county office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Farm operator visits ASCS office prior to a prescribed final date to sign application Form ASCS-477, giving intent to participate and share in planted acres and to report planted acreage for harvest on Form ASCS-578.

**Award Procedure:** Not applicable.

**Deadlines:** Prevented Plantings (when applicable): File Form ASCS-574-1 not later than the 15th day after the end of the normal planting period for the program crop and for the latest major annual non-conserving crop applicable to the county and while evidence of disaster is still apparent. Low yield (when applicable): File Form ASCS-574 while evidence of crop is apparent, but not later than 15 days after crop is harvested or abandoned. For an unharvested mature crop, file not later than April 30 of following program year.

**Range of Approval/Disapproval Time:** Approval of payments depends upon farmer certification of acreage and other eligibility, and is fairly routine and prompt when it is determined that a payment is required.

**Appeals:** If producer questions yields or other determinations, he may appeal to the ASCS county office within 15 days after being notified.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment by sight draft, based on sign-up for participation, is made after it is determined a payment is required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Applicant reports any disaster (when applicable) which would affect crop yield.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct payments) FY 81 $303,903,705; FY 82 est $547,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $3 to $50,000; $3,535. (Cotton, feed grain, wheat and rice deficiency payments, in total, may not exceed $50,000 to any one person for the 1982 crop year. Cotton, feed grain, wheat and rice disaster payments, in total, may not exceed $100,000 to any one person for 1982 crop year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 85,283 participating cotton farms which received payments of $303,903,705.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register. Announcements issued to news media and letters to producers. "ASCS Production Adjustment Programs", BI-5 USDA, no cost; Draft Impact Analysis, Final Impact Analysis and Backgrounder, no cost; Agricultural Stabilization and Conservation Service, U.S. Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed under the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Analysis Division, Agricultural Stabilization and Conservation Service, P.O. Box 2415, Department of Agriculture, Washington, DC 20013. Telephone: (202) 447-7954 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.055, Feed Grain Production Stabilization; 10.058, Wheat Production Stabilization; 10.065, Rice Production Stabilization.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.053 DAIRY INDEMNITY PAYMENTS

### (Dairy Indemnity Payments)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Public Law 90-484, as amended, and the Agricultural Act of 1970, Title II, Section 204, 7 U.S.C. 450j to l, Public Law 91-524; Agriculture and Consumer Protection Act of 1973, Public Law 93-86; Food and Agriculture Act of 1977, Public Law 95-113, Food and Agriculture Act of 1981, Public Law 97-98.

**OBJECTIVES:** To indemnify dairy farmers and manufacturers of dairy products who are directed to remove their milk, milk cows or dairy products from commercial markets because of contamination with residues of pesticides resulting from no misaction on the part of the dairy farmer or the manufacturer of the dairy product. Dairy farmers can also be indemnified because of contamination with chemicals or toxic substances, nuclear radiation or fallout.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Fair market value for the milk is paid to the dairy farmer who is unable to market because of any of the violating substances, and the fair market value of the dairy product is paid to the manufacturer who is unable to market because of pesticide residue. No payment may be made to any dairy farmer whose milk or to any manufacturer whose dairy product was removed from the market as a result of his negligence or his willful failure to follow procedures prescribed by the Federal Government.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Dairy farmers whose milk has been removed from the market by a public agency or a milk handler because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is available in Puerto Rico.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** In the case of a dairy farmer, the notice removing the milk from the market along with a record of past marketing records for milk, the violating substance involved and the uses of such violating substances during the previous 24 months. In the case of the manufacturer of dairy products, the notice removing the product from the market and sufficient data to determine the value of the product.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application Form ASCS-373, for payment is filed with the local county ASCS office.

**Award Procedure:** Initial approval is made by the ASC county committee. Final approval is made by the Emergency Operations and Livestock Programs Division in Washington.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Applicant may appeal to State Agricultural Stabilization and Conservation Committee and to Deputy Administrator, State and County Operations, ASCS, U.S. Department of Agriculture, P.O.Box 2415, Washington, DC 20013.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment is made by Treasury check after claim approval.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** The dairy farmer and the manufacturer of dairy products must keep any records in applying for a payment for 3 years following the year in which an application for payment was filed.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3314-0-1-351.

**Obligations:** (Direct payments) FY 81 $42,231; FY 82 est $176,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** FY 1981-$316 to $5,644; $2,815.

**PROGRAM ACCOMPLISHMENTS:** There was $91,575 paid to 10 dairy farmers during fiscal year 1980. In fiscal year 1981, approximately 15 dairy farmers received payments totaling $42,231. In fiscal year 1982, approximately 35 dairy farmers and 12 manufacturers of dairy products will receive payments totalling $176,000. There will be no payments made in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations are published in the Federal Register, 7 CFR, Part 760, and is announced through news media, circulars and regulations issued by ASCS, and Program Handbook 3-LD issued by ASCS.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed under the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Emergency and Indemnity Programs Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-7997 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.500, Cooperative Extension Service; 66.502, Pesticides Control Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.054 EMERGENCY CONSERVATION PROGRAM (ECP)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Credit Act of 1978, Title IV, Public Law 95-334, 16 U.S.C. 2201-2205.

**OBJECTIVES:** To enable farmers to perform emergency conservation measures to control wind erosion on farmlands, or to rehabilitate farmlands damaged by wind erosion, floods, hurricanes, or other natural disasters; and to carry out emergency water conservation or water enhancing measures during periods of severe drought.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Emergency cost-sharing is limited to new conservation problems created by natural disasters which: if not treated will impair or endanger the land; materially affect the productive capacity of the land; represent damage which is unusual in character and, except for wind erosion, is not the type which would recur frequently in the same area; and will be so costly to rehabilitate that Federal assistance is or will be required to return the land to productive agricultural use. Severe drought situations for water enhancing measures are to be determined by the Deputy Administrator, State and County Operations, ASCS.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, bears a part of the cost of an approved conservation practice in a disaster area is eligible to apply for cost-share conservation assistance. This program is available in Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Identification as an eligible person and proof of contribution to the cost of performing the conservation practice.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible persons make application on Form ACP-245, for cost-sharing at the ASCS county office for the county in which the land is located.

**Award Procedure:** The Agricultural Stabilization and Conservation (ASC) county committee must approve applications in whole or in part within the county allocation of Federal funds for that purpose.

**Deadlines:** Application for payment must be filed with the ASC county committee by a prescribed date. The conservation practice for which cost shares have been approved must be completed during the program year, within the time specified by the ASC county committee and such performance reported to the county office within a specified time.

**Range of Approval/Disapproval Time:** 2 to 3 weeks.

**Appeals:** Participant may appeal to ASC county committee or office, State committee, or Deputy Administrator, State and County Operations, on any determination.

**Renewals:** Certain approvals may be extended by the ASC county committee when necessary with proper justification.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost-share payment is required. The producer must agree to pay the first 20 percent of the cost of the practice to restore the loss. With respect to the remainder of the cost of completing the practice to restore the loss the county committee shall establish levels of cost-sharing for which payments may be made by ASCS as follows: 1. Not to exceed 80 percent of the first $50,000 of the cost of the practice(s) to restore the loss; 2. Not to exceed 50 percent for the next $50,000 of the cost of the practice(s) to restore the loss; and 3. Not to exceed 25 percent of the remaining cost of the practice(s) to restore the loss.

**Length and Time Phasing of Assistance:** Practice cost-share approvals are given on a program year basis. The approvals specify the time in which the practice must be carried out. Payment is by sight draft following completion of the measure.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Maintained in the ASCS county office and Federal record centers for specified number of years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3316-0-1-453.

**Obligations:** (Direct payments) FY 81 $20,036,934; FY 82 est $33,035,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $400 to $10,000; $2,000.

**PROGRAM ACCOMPLISHMENTS:** As a result of natural disasters in fiscal year 1981, cost share assistance was provided to 10,033 farms covering 2,440,764 acres. A total of $15,700,695 was expended in fiscal year 1981 to rehabilitate farmland as a result of these disasters.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in the Federal Register, 7 C.F.R., Part 701. Program is announced through the news media and in letters to eligible participants in the county area designated as a disaster area.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Farmers are advised to contact their local county Agricultural Stabilization and Conservation Service office after a natural disaster has occurred to determine eligibility for emergency cost-share assistance. Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Conservation and Environmental Protection Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone (202) 447-6221 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.404, Emergency Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.055 FEED GRAIN PRODUCTION STABILIZATION

### (Feed Grain Direct Payments)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Act of 1949, 7 U.S.C. 1421, Public Law 81-439; Food and Agriculture Act of 1977, 7 U.S.C. 1308, 1421, 1441, 1444(c), Public Law 95-113; Wheat, Feed Grains, and Upland Cotton, Emergency Assistance, Public Law 95-279; Agricultural Adjustment Act of 1980, Public Law 96-213; Federal Crop Insurance Act of 1980, Public Law 96-365; Agricultural Act of 1980, Public Law 96-494; Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To attract the production needed to meet domestic and foreign demand, to protect income for farmers, and to assure adequate supplies at fair and reasonable prices.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Deficiency payments are used to provide producers with a guaranteed price on their planted acreage in the event average prices drop below the established or "target" price. A feed grain producer who participates can also qualify for disaster payments when prevented by natural disaster from planting, or when prevented from harvesting 60 percent of normal production. Beginning with 1982, disaster protection is not available in counties where Federal Crop Insurance is offered.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owner, landlord, tenant, or sharecropper on a farm where the commodity is planted that meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Record of farming operation must be on file in the ASCS county office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Farm operator visits ASCS office prior to a prescribed final date to sign application Form ASCS-477, giving intent to participate and share in planted acres and to report planted acreage for harvest on Form ASCS-578.

**Award Procedure:** Not applicable.

**Deadlines:** Prevented Plantings (when applicable): File Form ASCS-574-1 not later than the 15th day after the end of the normal planting period for the program crop and for the latest major annual non-conserving crop applicable to the county and while evidence of disaster is still apparent. Low yield (when applicable): File Form ASCS-574 while evidence of crop is apparent, but not later than 15 days after crop is harvested or abandoned. For unharvested mature crop, file not later than April 30 of following program year.

**Range of Approval/Disapproval Time:** Approval of payments depends upon farmer certification of acreage and other eligibility, and is fairly routine and prompt when it is determined that a payment is required.

**Appeals:** If producer questions yields or other determinations, he may appeal to the ASCS county office within 15 days after being notified.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment by sight draft, based on sign-up for participation, is made after it is determined a payment is required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Applicant reports any disaster (when applicable) which would affect crop yield.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct payments) FY 81 $403,127,834; FY 82 est $368,000,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** $3 to $50,000; $1,439. (Feed grain, wheat, cotton and rice deficiency payments, in total, may not exceed $50,000 to any one person for the 1982 crop year. Feed grain, wheat, cotton, and rice disaster payments, in total, may not exceed $100,000 to any one person for the 1982 crop year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 286,625 participating farms that received total payments of $403,127,834.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register. Announcements issued to news media and letters to producers. "ASCS Production Adjustment Programs", BI-5 USDA, no cost; Draft Impact Analysis, Final Impact Analysis and Backgrounder, no cost; Agricultural Stabilization and Conservation Service, U.S. Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service Section of Appendix IV of the Catalog.

**Headquarters Office:** Analysis Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-4417 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.052, Cotton Production Stabilization; 10.058, Wheat Production Stabilization; 10.065, Rice Production Stabilization.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.056 STORAGE FACILITIES AND EQUIPMENT LOANS

### (Farm Facility Loans)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agriculture Act of 1949, as amended; 12 U.S.C. 1134(c), Public Law 81-439; Commodity Credit Corporation Charter Act, as amended; 15 U.S.C. 714 (b) and (c); and Food and Agriculture Act of 1977, 15 U.S.C. 714(b), Public Law 95-113; Public Law 96-234; Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To complement the commodity loan and grain reserve programs by providing adequate financing for needed on-farm storage facilities, drying equipment, and operating equipment, thereby affording farmers the opportunity for orderly marketing of their crops.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** The loans are used to finance the purchase of storage structures drying equipment, and operating equipment and to remodel existing facilities. To qualify for loans the farmers must meet the need eligibility requirements for storing or conditioning of one or more of the following commodities: barley, corn, grain sorghum, oats, rye, wheat, soybeans, sunflower seed, rice, dry edible beans, flaxseed, peanuts, and high-moisture forage. The maximum loan amount is $50,000. A producer's aggregate outstanding loan balance cannot exceed $50,000. Repayment terms allow for a maximum of 4 equal annual installments over a period of 5 years. Interest rate charged on facility loans will be based on the rate charged CCC by the U.S. Treasury.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person who as owner, landlord, tenant, or sharecropper produces one or more of the applicable commodities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Record of farming operation must be on file in the ASCS county office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The producer must file an application, Form CCC-185, in the ASCS county office showing production, name of vendor from whom facility will be purchased, and cost of proposed installation. Paid receipts for equipment or purchases must also be furnished the ASCS county office.

**Award Procedure:** Approval of loans is made by ASC State and county committee.

**Deadlines:** The producer must file an application not later than 30 days after delivery of the structure or equipment to the farm. Loans must be disbursed within 4 months after approval unless extended.

**Range of Approval/Disapproval Time:** 2 to 4 weeks.

**Appeals:** Applications may be reviewed by county, State, or national offices.

**Renewals:** Loans may be extended past maturity with approval of the ASCS county committee.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment is by sight draft 4 to 8 months after approval of assistance. Disbursements are by lump sum to the suppliers and borrowers involved.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Loans) FY 81 $225,865,217; FY 82 est $95,000,000; and FY 83 est $40,000,000.

**Range and Average of Financial Assistance:** To be calculated.

**PROGRAM ACCOMPLISHMENTS:** There were 19,338 new loans made in fiscal year 1981 totaling $225,865,217. The storage capacity of new loans made was 166,610,133 bushels and 1,284,850 tons. Estimated outlays for FY 1983 are $40 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register 7 CFR, Chapter XIV, Part 1474. Announcements issued to news media and letters to producers. "The Price Support Program," BI-4-USDA, no cost; Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service Section of Appendix IV of the Catalog.

**Headquarters Office:** Cotton, Grain and Rice Price Support Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-5094 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.051, Commodity Loans and Purchases.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.058 WHEAT PRODUCTION STABILIZATION

### (Wheat Direct Payments)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Act of 1949, as amended, 7 U.S.C. 1445, Public Law 81-439; Food and Agriculture Act of 1977, 7 U.S.C. 1421, Public Law 95-113; Wheat, Feed Grains and Upland Cotton Emergency Assistance, Public Law 95-279; Agricultural Adjustment Act of 1980, 7 U.S.C. 1308, 1421, 1441, 1444, 1445, Public Law 96-213; Federal Crop Insurance Act of 1980, Public Law 96-365; Agricultural Act of 1980, Public Law 96-494, Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To attract the production that is needed to meet domestic and foreign demand for food, to protect income for farmers, and to assure adequate supplies at fair and reasonable prices.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Deficiency payments are used to provide producers with a guaranteed price on their planted acreage in the event average prices drop below the established, or "target" price. A wheat producer who participates can also qualify for disaster payments when prevented by natural disaster from planting, or when prevented from harvesting 60 percent of normal production. Beginning with the 1982 crop, disaster protection is not available in counties where Federal Crop Insurance is offered.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owner, landlord, tenant or sharecropper on a farm where the commodity is planted that meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Record of farming operation must be on file in the ASCS county office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Farm operator visits ASCS office prior to a prescribed final date to sign application Form ASCS-477, giving intent to participate and share in planted acres, and to report planted acreage for harvest on Form ASCS-578.

**Award Procedure:** Not applicable.

**Deadlines:** Prevented Plantings (when applicable): File Form ASCS-574-1 not later than the 15th day after the end of the normal planting period for the program crop and for the latest major annual non-conserving crop applicable to the county and while evidence of disaster is still apparent. Low yield (when applicable): File Form ASCS-574 while evidence of the crop is apparent, but not later than 15 days after crop is harvested or abandoned. For unharvested mature crop, file not later than April 30 of following program year.

**Range of Approval/Disapproval Time:** Approval of payments depends upon farmer certification of acreage and other eligibility, and is fairly routine and prompt when it is determined that a payment is required.

**Appeals:** If producer questions yields or other determinations, he may appeal to the ASCS county office within 15 days of being notified.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment by sight draft, based on sign-up for participation, is made after it is determined a payment is required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Applicant reports any disaster (when applicable) which would affect crop yield.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct payments) FY 81 $320,535,195; FY 82 est $477,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $3 to $50,000; $2,594. (Wheat, feed grain, cotton and rice deficiency payments, in total, may not exceed $50,000 to any one person for the 1982 crop year. Wheat, feed grain, cotton and rice disaster payments, in total, may not exceed $100,000 to any one person for the 1982 crop year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, there were 87,967 participating wheat farms that received total payments of $320,535,195.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register. Announcements issued to news media and letters to producers. "ASCS Production Adjustment Programs," BI-5 USDA, no cost; Draft Impact Analysis, Final Impact Analysis and Backgrounder, no cost; Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in Agricultural Stabilization and Conservation Service Section of Appendix IV of the Catalog.

**Headquarters Office:** Analysis Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-4146 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.052, Cotton Production Stabilization; 10.055, Feed Grain Production Stabilization; 10.065, Rice Production Stabilization.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.059 NATIONAL WOOL ACT PAYMENTS

### (Wool and Mohair Payments)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** National Wool Act of 1954, as amended, 7 U.S.C. 1781-1787, Public Law 83-690; Food and Agriculture Act of 1977, 7 U.S.C. 1781-1782, Public Law 95-113, Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To encourage increased domestic production of wool at prices fair to both producers and consumers in a way that has the least adverse effect on domestic and foreign trade and to encourage producers to improve the quality and marketing of their wool and mohair.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Payments when required are made to growers to supplement farm income. No restrictions are placed on the use of these funds.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person who owns sheep or lambs for 30 days or more and sells shorn wool or unshorn lambs during the marketing year. Any person who owns angora goats for 30 days or more and sells mohair produced therefrom.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Application for payment supported by appropriate sales document.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Producer files application for payment (National Wool Act - Form CCC-1155) at local ASCS county office. The wool and mohair producers turn in bill of sale to ASCS county office with the application form.

**Award Procedure:** Not applicable.

**Deadlines:** January 31 following the end of the marketing year.

**Range of Approval/Disapproval Time:** Approval of applications for payment are fairly routine and prompt.

**Appeals:** Applicants may appeal to the county ASCS office within 15 days after being notified.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payments are by sight draft on April 1, following the marketing year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Applicants are required to keep records of production, purchases, and sales for 3 years after the end of marketing year.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct payments) FY 81 $37,569,375; FY 82 est $39,690,000; and FY 83 est $27,056,000.

**Range and Average of Financial Assistance:** $5 to $195,010; $353.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, $37,569,375 was paid wool producers for calender year 1980 marketings. No payments were made to mohair producers on the 1980 marketings since prices were above support. Approximately $39,690,000 will be paid in fiscal year 1982 for calendar year 1981 marketings.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register, 7 CFR, Parts 1472 and 1468. Program Handbooks 1-LD and 2-LD issued by ASCS. Announcements issued to news media and letters to producers. "ASCS Wool and Mohair Fact Sheets," no cost, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Emergency Operations and Livestock Programs Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-7997 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.062 WATER BANK PROGRAM

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Water Bank Act; Public Law 91-559 and Public Law 96-182.

**OBJECTIVES:** To conserve surface waters; preserve and improve migratory waterfowl habitat and wildlife resources; and secure other environmental benefits.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Agreements are for 10 years with eligible landowners to help preserve important breeding and nesting areas of migratory waterfowl. During the agreement, the participants agree in return for annual payments not to drain, burn, fill, or otherwise destroy the wetland character of such areas and not to use areas for agricultural purposes, as determined by the Secretary. The Secretary carries out the program in harmony with wetlands programs administered by the Secretary of the Interior and utilizes technical and related services of appropriate State, Federal, and private conservation agencies to assure proper coordination.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Landowners and operators of specified types of wetlands in designated important migratory waterfowl nesting and breeding areas.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Identification as an owner and/or operator of eligible land; a conservation plan developed in cooperation with the local soil and water conservation district; and proof of required compliance.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Program is announced through news media and letters to persons eligible to participate in areas designated by the Secretary of Agriculture.

**Application Procedure:** Make application at ASCS county office for the county in which the land is located. Applicant must develop an approved conservation plan with local soil and water conservation district.

**Award Procedure:** ASCS county committee must approve applications within the county allocation of Federal funds for that purpose.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** The period officially specified for the program year.

**Appeals:** Any matter affecting the right of a person in a designated area to participate and the amount of payments due, as provided in ASCS appeals procedure.

**Renewals:** Subject to mutual agreement between the Secretary and the participant, within program provisions specified by the Secretary, for additional 10-year periods.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Annual payments may be made within the announced rate structures, for the eligible acreage. Participant must undertake needed land and water management measures.

**Length and Time Phasing of Assistance:** Annual payments will be made for 10 years, and may be continued for additional periods of 10 years if mutually agreed to at the rates offered by the Secretary.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Performance reports, if any annual payments are made in advance of performance. (Statistical reports are made by administering offices.)

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3320-0-1-302.

**Obligations:** (Direct payments) FY 81 $10,471,075; FY 82 est $10,672,463; and FY 83 est $0.

**Range and Average of Financial Assistance:** From $8 to $65 per acre; $15.84 avg. per acre.

**PROGRAM ACCOMPLISHMENTS:** As of July 31, 1981, 24,569 acres were placed under agreement for the 1981 program. There are now 668,194 acres under agreement after 10 years.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in the Federal Register, 7 CFR 752. Program is announced through the news media and in letters to eligible participants in the county area designated by the Secretary of Agriculture as a participating county. Also, Program Handbook 1-WBP issued by ASCS.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Conservation and Environmental Protection Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-6221 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.900, Great Plains Conservation; 10.902, Soil and Water Conservation; 15.916, Outdoor Recreation—Acquisition, Development and Planning; 15.611, Wildlife Restoration; 65.001, Water Resources Planning.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.063 AGRICULTURAL CONSERVATION PROGRAM

## (ACP)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** The Soil Conservation and Domestic Allotment Act, approved February 29, 1936, Sections 7 to 15, 16(a), 16(f) and 17, as amended; Public Law 74-46; 16 U.S.C. 590d, 590g-590o, 590p(a), 16p(f) and 590q.

**OBJECTIVES:** Control of erosion and sedimentation, encourage voluntary compliance with Federal and State requirements to solve point and nonpoint source pollution, achieve priorities in the National Environmental Policy Act, improve water quality, encourage energy conservation measures, and assure a continued supply of necessary food and fiber for a strong and healthy people and economy. The program will be directed toward the solution of critical soil, water, energy, woodland, and pollution abatement problems on farms and ranches.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The conservation practices are to be used on agricultural land and must be performed satisfactorily and in accordance with applicable specifications. The wildlife conservation practices must also conserve soil or water. Program participants are responsible for the upkeep and maintenance of practices installed with cost-share assistance. The cost-share assistance does not apply if the primary purpose is to bring new land into production.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, bears a part of the cost of an approved conservation practice is eligible to apply for cost-share assistance. This program is available to farmers and ranchers in the 50 States, Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Identification as an eligible person, and proof of contribution to the cost of performing the practice.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible persons make application on Form ACP-245, for cost-sharing at any time during the year, at the ASCS county office for the county in which the land is located.

**Award Procedure:** The Agricultural Stabilization and Conservation (ASCS) county committee must approve applications in whole or in part within the county allocation of Federal funds for that purpose.

**Deadlines:** Application for payment must be filed with the ASCS county committee by an announced date.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Participant may appeal any determination to ASCS county committee or office, State committee, or Deputy Administrator.

**Renewals:** Certain approvals may be extended by the ASCS county Committee.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost-share payment or advance of conservation materials or services in lieu of payment. Payment rates range up to 75 percent of cost.

**Length and Time Phasing of Assistance:** Practice cost-share approvals are given on a fiscal year basis as specified in approvals.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Maintained in ASCS county office and Federal record centers for specified number of years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3315-0-1-302.

**Obligations:** (Direct payments) FY 81 $192,126,989; FY 82 est $216,050,480; and FY 83 est $56,000,000.

**Range and Average of Financial Assistance:** Individual agreement $3 to $3,500; $500. Pooling agreement $3 to $10,000; $1,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately $191 million was paid to farmers and ranchers for conservation in the 50 States, Puerto Rico and the Virgin Islands. The average payment per farm was $742.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program is announced through news media and in letters to agricultural producers in the county. Program handbooks and leaflets issued by ASCS-USDA. Regulations published in the Federal Register, Part 701.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Conservation and Environmental Protection Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-6221 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.054, Emergency Conservation Program; 10.064, Forestry Incentives Program; 10.068, Rural Clean Water Program; 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.414, Resource Conservation and Development Loans; 10.416, Soil and Water Loans; 10.901, Resource Conservation and Development; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 15.607, Environmental Contaminant Evaluation.

**EXAMPLES OF FUNDED PROJECTS:** In 1982, ACP funded two Salinity Projects: $1,700,000 to the Grand Valley Salinity Control Project in Mesa County, Colorado, and $2,000,000 to the Uintah Basin Salinity Control Project in Wasatch, Uintah, and Duchesne Counties, Utah. Funds will be used to reduce salinity by the use of irrigation reorganization and land treatment practices. Also in 1982, approximately $10 million will be allocated to critical erosion areas as defined by SCS.

**CRITERIA FOR SELECTING PROPOSALS:** Critical erosion areas were defined by SCS based on the tons of soil loss per acre.

## 10.064 FORESTRY INCENTIVES PROGRAM (FIP)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Cooperative Forestry Assistance Act of 1978; Public Law 95-313.

**OBJECTIVES:** To bring private nonindustrial forest land under intensified management; to increase timber production; to assure adequate supplies of timber; and to enhance other forest resources through a combination of public and private investments on the most productive sites on eligible individual or consolidated ownerships of efficient size and operation.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Cost-sharing of up to 85 percent of the total cost is available under the Forestry Incentives Program for tree planting and timber stand improvement. Special forestry practices may be approved if needed for a significant and unique local condition for which national FIP practices are not adequate. Owners of non-industrial private forest lands of 1,000 acres or less, capable of producing industrial wood crops are eligible for Forestry Incentives Program cost-sharing. In order for an individual within a county to receive Forestry Incentives Program funds, the county must be designated as a Forestry Incentives Program county by the State committee in consultation with the State Forester. In counties designated for Forestry Incentives Program, the individual landowner is required to have a forest management plan, developed by the State Forester and landowner.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A private individual, group, association, Indian Tribe or other native group, corporation (except corporations whose stocks are publicly traded) or other legal entity which owns "non-industrial" private forest lands capable of producing industrial wood crops is eligible to apply for cost-sharing assistance. Cost-share agreements are limited to eligible ownerships of land of not more than 1000 acres except by special approval. This program is available to eligible landowners in the United States or any commonwealth, territory or possession of the United States.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Identification as an eligible person, and proof of contribution to the cost of performing the practice.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible persons make application on Form ACP-245 for annual cost-sharing, or on Form FIP-11 for long-term cost-sharing agreements. Applications may be filed at any time during the year at the Agricultural Stabilization and Conservation Service (ASCS) county office for the designated county in which the land is located.

**Award Procedure:** The ASCS county committee reviews application for approval in whole or in part within the county allocation of Federal funds for the Forestry Incentives Program.

**Deadlines:** As announced by ASCS county committee.

**Range of Approval/Disapproval Time:** Generally from 30 to 60 days.

**Appeals:** Participant may appeal any determination to ASCS county committee, or ASCS county office, State committee or Deputy Administrator.

**Renewals:** Extension of time to complete a practice may be granted, if requested by the applicant before approval expires or within 15 days after the expiration date.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Essential factors used to allocate funds to states are: (1) acreage, (2) number of eligible owners, (3) productivity potential and (4) need for reforestation. Cost shares under Forestry Incentives Program are limited by law to no more than 65 percent of the total cost.

**Length and Time Phasing of Assistance:** Normally the length of the program is from 1 to 10 years. There may be certain restrictions on time limits on certain practices to be performed. The assistance is awarded by performance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3336-0-1-302.

**Obligations:** (Direct payments) FY 81 $13,431,040; FY 82 est $13,291,398; and FY 83 est $0.

**Range and Average of Financial Assistance:** $1 to $10,000 per year; $2,500.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1981, $17,774,502 of cost-share assistance was provided to 9,954 owners on 326,918 acres of forest land at an average rate of $54 per acre or $1,786 per owner.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program is announced through news media and notices to all applicants and private forest owners on record and all interested governmental agencies and agricultural organizations. Program handbook issued by ASCS on Forestry Incentives is 1-FIP Program regulations published in the Federal Register, Part 701.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Conservation and Environmental Protection Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-6221 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.065 RICE PRODUCTION STABILIZATION

### (Rice Direct Payments)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Adjustment Act of 1938, as amended, 7 U.S.C. 1352, Public Law 75-430; Agricultural Act of 1949, as amended, 7 U.S.C. 1441, Public Law 81-439; Federal Crop Insurance Act of 1980, Public Law 96-365; Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To provide the production needed to meet domestic and foreign demand, to protect income for farmers and to assure adequate supplies at fair and reasonable prices.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Deficiency payments are used to provide producers with a guaranteed price on their planted acreage in the event average prices drop below the established or "target" price. A rice producer who participates can also qualify for disaster payments when prevented by natural disaster from planting or when prevented from harvesting three-fourths of normal production. Beginning with the 1982 crop, disaster protection is not available in counties where Federal Crop Insurance is offered.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owner, landlord, tenant, or sharecropper on a farm where the commodity is planted that meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Record of farming operations must be on file in the ASCS county office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Farm operator visits ASCS office prior to a prescribed final date to sign application Form ASCS-477, giving intent to participate and share in planted acres, and to report planted acreage for harvest on Form ASCS-578.

**Award Procedure:** Not applicable.

**Deadlines:** Prevented Plantings (when applicable): File Form ASCS-574-1 not later than the 15th day after the end of the normal planting period for the program crop and for the latest major annual non-conserving crop applicable to the county and while evidence of disaster is still apparent. Low yield (when applicable): File Form ASCS-574 while evidence of the crop is apparent, but not later than 15 days after crop is harvested or abandoned. For unharvested mature crop, file not later than April 30 of following program year.

**Range of Approval/Disapproval Time:** Approval of payments depends upon farmer certification of acreage and other eligibility, and is fairly routine and prompt when it is determined that a payment is required.

**Appeals:** If producer questions yields or other determinations, he may appeal to the ASCS county office within 15 days after being notified.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment by sight draft, based on sign-up for participation, is made after it is determined a payment is required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Applicant reports any disaster (when applicable) which would affect crop yield.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct Payments) FY 81 $2,418,381; FY 82 est $34,543,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $3 to $50,000 per person for the 1981 crop, with an average payment per payee of $3,484. Rice, cotton, feed grain and wheat deficiency payments, in total, may not exceed $50,000 to any one person for the 1982 crop year. Rice, cotton, feed grain and wheat disaster payments, in total, may not exceed $100,000 to any one person for the 1982 crop year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 644 participating farms and they received total payments of $2,418,381.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in Federal Register. Announcements issued to news media and letters to producers. "ASCS Production Adjustment Programs," BI-5 USDA - no cost; Draft Impact Analysis, Final Impact Analysis and Backgrounder - no cost; Agricultural Stabilization and Conservation Service, USDA, P.O. Box 2415, Washington, DC 20013.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Analysis Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-5954 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.052, Cotton Production Stabilization; 10.055, Feed Grain Production Stabilization; 10.058, Wheat Production Stabilization.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.066 EMERGENCY FEED PROGRAM

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Act of 1949, 7 U.S.C. 1421, Public Law 89-439; Food and Agriculture Act of 1977, 7 U.S.C. 2267, Public Law 95-113; Agriculture and Food Act of 1981, 7 U.S.C. 1281, Public Law 97-98.

**OBJECTIVES:** To assist in the preservation and maintenance of livestock in any area of the United States where because of flood, drought, fire, hurricane, earthquake, storm, or other natural disaster, it is determined that an emergency exists.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Assistance is limited to fifty percent of the cost of feed purchased not to exceed three cents per pound of feed grain equivalent and not to exceed the amount of feed loss.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The applicant must meet all of the following conditions as determined by the county ASC committee: (1) the person must have suffered a substantial loss (40 percent below normal) in the livestock feed normally produced on the person's farm for such person's livestock because of a disaster, (2) the person does not have sufficient feed for such livestock for the estimated period of the emergency, and (3) the person is required to make feed purchases during the period of the emergency in quantities larger than such person would normally make.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must certify ownership of livestock, feed loss, feed on hand and to the purchases above normal.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant visits the ASCS county office to make application and report his feed loss, his feed on hand and receives authority to participate in the program.

**Award Procedure:** Not applicable.

**Deadlines:** Application must be filed by December 31 of any year, or within 60 days following a sudden disaster which may have occurred after December 31 but prior to the beginning of the crop year.

**Range of Approval/Disapproval Time:** Approval is immediate in most cases if eligibility requirements are met.

**Appeals:** Applicants may appeal to the ASCS county office within 15 days after being notified.

**Renewals:** Applicants may file another application if additional feed does not become available as anticipated.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Payment is made by sight draft upon presenting satisfactory evidence of cost of feed purchased.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Necessary cost data and other documents are maintained by the county office for audit purposes.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct Payments) FY 81 $328,504,205; FY 82 est $50,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $3 to $200,000; Average payments: $2,026.

**PROGRAM ACCOMPLISHMENTS:** Payments made under this program totaled $328,504,205 in fiscal year 1981, and helped purchase 11,625,800,000 pounds of feed for 18,298,668 units of livestock.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Procedural handbooks available in ASCS county offices. Also published in the Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State Office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Emergency Operations and Livestock Programs Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-6833.

**RELATED PROGRAMS:** 10.054, Emergency Conservation Program; 10.404, Emergency Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.067 GRAIN RESERVE PROGRAM

### (Farmer-Held and Owned Grain Reserve)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Act of 1949, 7 U.S.C. 1445, Public Law 81-439; Commodity Credit Corporation Charter Act, 15 U.S.C. 714, Public Law 80-806; Food and Agriculture Act of 1977, 7 U.S.C. 1445e, Public Law 95-113; Agricultural Act of 1980, 7 U.S.C. 1444, Public Law 96-494; Agriculture and Food Act of 1981, Public Law 97-98.

**OBJECTIVES:** To insulate sufficient quantities of grain from the market to increase price to farmers. To improve and stabilize farm income and to assist farmers in the orderly marketing of their crops.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Commodity under loan may not be sold unless announced release levels are met or three year loan has matured.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All producers or approved cooperatives having a CCC loan on wheat, rice, corn, barley, oats or sorghum from an authorized crop year who provide storage through loan maturity.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must have been the producer of the commodity and hold an eligible authorized crop.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Applicant visits, calls, or writes the county office to make application during the announced availablity period.

**Award Procedure:** This program is on a first come, first served basis. Agreements are approved after storage has been provided for in the case of warehouse loans, and after an inspection of the commodity in the case of farm stored loans. Producers must meet commodity eligibility requirements.

**Deadlines:** Must make application during the announced period of availability.

**Range of Approval/Disapproval Time:** Approval immediate if eligibility requirements are met.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Maximum 3-year loan period. Storage payments are made annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Periodic and required spot checks of farm-stored grain will be made by the ASCS county office. Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Necessary loan documents, grain reserve agreements, and other documents will be held at the county ASCS office.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351.

**Obligations:** (Direct Payments) FY 81 $32,247,516; FY 82 est $324,800,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $25 to $50,000; $1,300.

**PROGRAM ACCOMPLISHMENTS:** Through February 17, 1982, 512,393,000 bushels of wheat 19,962,000 bushels of barley, 208,830,000 bushels of sorghum, and 1,111,689,000 bushels of corn, were in the reserve. As of January 31, 1982, 221,595 outstanding loans remain in the farmer-held reserve.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program regulations published in the Federal Register, Chapter XIV, Part 1421; procedural notices and handbook available in the ASCS county offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Cotton, Grain and Rice Price Support Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013. Telephone: (202) 447-8480 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.051, Commodity Loans and Purchases.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.068 RURAL CLEAN WATER PROGRAM (RWCP)

**FEDERAL AGENCY:** AGRICULTURAL STABILIZATION AND CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agriculture, Rural Development and Related Agencies Appropriation Act of 1980, Public Law 96-108.

**OBJECTIVES:** To develop and test methods for improving water quality by assisting agricultural landowners in reducing agricultural nonpoint source water pollutants.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The RCWP provides financial and technical assistance to private landowners and operators in approved project areas. The assistance is provided through long-term contracts of 3 to 10 years to install best management practices to solve critical water quality problems resulting from agricultural nonpoint source pollution. The project area must reflect the water quality priority concerns developed through the established water quality management process. Participation is voluntary.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** RCWP is only applicable to privately owned agricultural lands in approved project areas. Any landowner or operator in an approved project area whose land or activity contributes to the areas water quality problems and who has an approved water quality plan may enter into an RCWP contract. An individual partnership, corporation (except corporations whose stock is publicly traded), Indian tribe, irrigation district, or other entities are eligible. Federal, State, or local governments, or subdivisions thereof, except irrigation districts, are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility

**Credentials/Documentation:** Identification as an eligible person, and proof of contribution to the cost of performing the practice.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The project area must be identified and approved for RCWP funding.

**Application Procedure:** Eligible persons make application on Form RCWP-1 for cost sharing at any time during the year, at the ASCS county office for the county in which the land is located.

**Award Procedure:** The Agricultural Stabilization and Conservation Service (ASCS) county committee must approve applications in whole or in part within the county allocation of Federal funds for that purpose.

**Deadlines:** Applications must be filed with the ASCS county committee by an announced date. Contact the local ASCS county office for application dates.

**Range of Approval/Disapproval Time:** 30 to 180 days.

**Appeals:** Participant may appeal any determination to ASCS county committee or office, State committee, or Deputy Administrator.

**Renewals:** Certain approvals may be extended by the ASCS county committee.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost-share payment. Payment rates range up to 75 percent of the cost.

**Length and Time Phasing of Assistance:** Practice cost-share approvals are given on a fiscal basis as specified in approvals.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Maintained in ASCS county office and Federal record centers for specified number of years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3337-0-1-304.

**Obligations:** (Direct payments) FY 81 $45,244,695; FY 82 est $5,000,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** Maximum payment limited to $50,000 per individual for life of contract.

**PROGRAM ACCOMPLISHMENTS:** None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**Program is announced through news media and in letters to agricultural producers in the county; also thru program handbooks and fact-sheets (issued by ASCS-USDA). Regulations published in the Federal Register, 7 CFR, Part 700.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult the local telephone directory for location of the ASCS county office. If no listing, get in touch with appropriate ASCS State office listed in the Agricultural Stabilization and Conservation Service section of Appendix IV of the Catalog.

**Headquarters Office:** Conservation and Environmental Protection Division, Agricultural Stabilization and Conservation Service, Department of Agriculture, P.O. Box 2415, Washington, DC 20013, Telephone: (202) 447-6221 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.054, Emergency Conservation Program; 10.063, Agricultural Conservation Program; 10.064, Forestry Incentives Program; 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.414, Resource Conservation and Development Loans; 10.416, Soil and Water Loans; 10.901, Resource Conservation and Development; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 15.607, Environmental Contaminant Evaluation.

**EXAMPLES OF FUNDED PROJECTS:** The RCWP provided technical and cost-share funds for the installation of best management practices to reduce bacterial count, control sediment, nutrients, pesticides, animal waste and similar pollutants for the following projects: Alabama, Lake Tholocco Project, $1,812,000 to treat 51,400 total acres, including 7,270 critical acres which surround the 600 acre lake; Idaho, Rock Creek Project, $3,439,000 to treat 45,000 total acres, including 34,800 critical acres; Illinois, Highland Silver Lake Project, $2,020,000 to treat 30,946 total acres, including 10,500 critical acres which contribute to pollution of the 600 acre lake; Kansas, Upper Wakarusa River Project, $3,892,000 to treat 154,011 acres, including 43,252 critical acres along the 53-mile river; Maryland, Double Pipe Creek Project in Carrol County, $5,127,000 to treat a total 110,000 project acreage containing 22,080 critical acres.

**CRITERIA FOR SELECTING PROPOSALS:** A total of 64 Project applications were evaluated by the National Coordinating Committee, composed of representatives of six USDA agencies and EPA. Twenty-one applications were recommended to the Secretary for approval, and announcement. The criteria used for selecting the projects included (1) severity of the water quality problems and explanation of pollutants; (2) demonstration of public benefits that would result from treatment of problems; (3) description of the project area; (4) treatment and BMP's needed; (5) costs of project including technical assistance estimates; (6) suitability of project for testing programs, policies and procedures for NPS pollution control; (7) monitoring and evaluation potential; and (8) estimated participation, local committment and interagency cooperation.

## 10.153 MARKET NEWS

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Cotton Statistics and Estimates Act; 7 U.S.C. 471-473, 473b, 475-476; Tobacco Inspection Act; 7 U.S.C. 511h; Agricultural Marketing Act of 1946; 7 U.S.C. 1622k, Tobacco Statistics; (7 U.S.C. 501-508); Naval Stores Act; (7 U.S.C. 91-99); Cotton Futures Act; (7 U.S.C. 15b); Peanut Statistics (7 U.S.C. 951-957); Turpentine and Rosin Statistics; (7 U.S.C. 2248).

**OBJECTIVES:** To provide timely and accurate information on prices, demand, movement, volume, and quality on all major U.S. agricultural commodities.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The information can be used by anyone as a basis for judging prevailing commodity values. Market news information is disseminated by the news media, as well as by mimeographed reports, bulletin boards, telephone, and telegraph.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any public or private organization, or individual, including those located in the U.S. Territories, may apply to receive existing market news reports or bulletins pertaining to specific agricultural commodities.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for Market News should be made to the appropriate commodity division of the AMS field office (see Appendix IV for listing of office locations).

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2500-0-1-352.

**Obligations:** (Salaries and Expenses) FY 81 $14,786,700; FY 82 est $15,192,000; and FY 83 est $13,743,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** (Names on mailing list) fiscal year 1981, 152 thousand; fiscal year 1982, estimate, 145 thousand; fiscal year 1983, estimate, 127 thousand. (Markets covered) fiscal year 1981, 1,566; fiscal year 1982, estimate, 1,535; fiscal year 1983, estimate, 1,533.

**REGULATIONS, GUIDELINES, AND LITERATURE:** MB-40, "The Federal-State Market News Reports-A Directory of Services Available"; MB-40, "The Federal-State Market News Services"; MB-41, "Market News Service on Cotton"; MB-54, "The Market News Service on Fruits, Vegetables, and Ornamental Crops"; MB-44, "The Market News Service on Grain"; MB-50, "Market News Service on Livestock, Meat, and Wool"; MB-42, "Market News Service on Dairy and Poultry Products." MB-43, "Market News Service for Tobacco and Naval Stores"; AMS-572 "Facts About Instant Market News"; SB-549, "Dairy Market Statistics, 1975 Annual Summary"; SB-566, "Dairy Market Statistics, 1976"; SB-515, "Dairy Market Statistics, 1973 Annual Summary"; SB-601, "Dairy Market Statistics, 1977 Annual Summary"; AMS-566, "Glossary of Terms used in Federal-State Market News Reports"; AH-365, "Major Statistical Series of the U.S. Department of Agriculture, How They are Constructed and Used"; AMS-551, "Federal-State Market News Reports, A Directory of Services Available"; AMS-547, "Peanut Market News, Price Summary/1944-1972."

**INFORMATION CONTACTS:**

**Regional or Local Office:** AMS field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Administrator for Marketing Program Operations, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-5115 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.950, Agriculture Statistical Reports; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library; 11.001, Census Bureau Data Products; 11.050, Business Assistance, Services, and Information.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.154 MARKET SUPERVISION AND ASSISTANCE

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Marketing Act of 1946 (7 U.S.C 1621-1627); Section 32, Act of 1935 as amended (7 U.S.C. 612c); Agricultural Fair Practices Act (7 U.S.C. 2301-2306); Capper Volstead Act (7 U.S.C. 291-292); Potato Research and Promotion (7 U.S.C. 2611-2627).

**OBJECTIVES:** To eliminate deceptive, unfair and fraudulent trade practices in the processing and marketing of food and agricultural products; provide assistance to those striving to achieve this objective; and to provide administrative support for purchasing commodities under USDA food distribution programs and price assistance to producers by removing agricultural commodities from regular market channels.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:** Assistance provided to assure a fair and open marketing distribution system for agricultural products.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State government, public and private organization and institution, business and industry or individual may apply for technical assistance or service.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As provided for in applicable Acts as referred to in authorization section above.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Vary, as provided for in applicable Acts. Contact appropriate area offices as listed in appendix for specific information.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** As provided for in applicable Acts.

**Renewals:** As provided for in applicable Acts.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As provided for in applicable Acts.

**Audits:** As provided for in applicable Acts.

**Records:** As provided for in applicable Acts.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2500-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $1,275,000; FY 82 est $3,657,000; and FY 83 est $3,025,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Number of contacts awarded fiscal year 1981, 1,006; fiscal year 1982, 884, fiscal year 1983, 955. Pounds purchased (millions) fiscal year 1981, 776.8; fiscal year 1982; 594.9; and fiscal year 1983, 752.0.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 33-35, 101-151, 201-202; PA-1005, "Farmers Rights Under the Agricultural Fair Practices Act."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional and local offices are listed in Appendix IV.

**Headquarters Office:** Deputy Administrator for Marketing Program Operations, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-5115 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.678, Consumer Affairs; 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.155 MARKETING AGREEMENTS AND ORDERS

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Marketing Agreement Act of 1937, as amended, 7 U.S.C. 601, 602, 608a-e, 612, 614, 624, 671-674.

**OBJECTIVES:** To assure ample supplies of agricultural products, maintain adequate producer prices, and provide consumers with quality products at reasonable prices.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** The provisions of orders and agreements are designed specifically to meet the marketing and economic problems of the commodity or area covered. For dairy products, the orders establish orderly marketing conditions in the sale of milk by dairy farmers to handlers, whereas fruit, vegetable, nut, and grass seed, are established to regulate the quantity and quality of products sold in commercial channels.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Marketing orders are issued by the Secretary of Agriculture only after a public hearing where milk, fruit and vegetable producers, marketers, and consumers testify, and after farmers vote approval through a referendum. Growers of certain fruits, vegetables, and specialty crops (like nuts, raisins, olives, and hops) and dairy farmers are the primary applicants.

**Beneficiary Eligibility:** The beneficiaries are producers and consumers of milk, fruit and vegetable products.

**Credentials/Documentation:** Evidence (usually hearings) required indicating that agreement or order will assist in the orderly marketing of a commodity.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Made in the form of a letter to the Secretary of Agriculture fully documenting the need for an agreement or order.

**Award Procedure:** Decision to establish or not to establish an agreement and order is made by the Secretary of Agriculture after public hearings and referendums are conducted.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Subject to time required to hold public hearings, investigations and to conduct a referendum. Approximately 1 year after start of public hearings.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Duration of agreement and order.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order.

**Audits:** Financial and program audits pertaining to marketing agreements and order transactions are made periodically.

**Records:** Financial and statistical records relating to the operation of the agreement and order are to be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-5209-0-2-604; 12-2500-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $4,995,000; FY 82 est $5,670,000; and FY 83 est $4,729,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** (Marketings conducted under agreements and orders) fiscal year 1981, $18.0 billion; fiscal year 1982, estimate, $18.5 billion; fiscal year 1983 estimate $18.8 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:** AH-421, Compilation of Agricultural Marketing Agreement Act; PA947, Can a Marketing Order Help?; AMS-230, Marketing Agreements and Orders for Fruits and Vegetables; AMS-565, Sources of Milk for Federal Order Markets by State and County; C&MS-81, Variations Among Producers in Value of Milk Marketed in Federal Milk Order Markets; AMS-559, Questions and Answers on Federal Milk Marketing Orders; AMS-553, Packaged Fluid Milk Sales in Federal Milk Order Markets; MB-27, The Federal Milk Marketing Order Program; SB-625, Federal Milk Order Market Statistics, Annual Summary; SB-624, Dairy Market Statistics, Annual Summary; MB-63, Market News Service on Dairy Products.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Deputy Administrator for Marketing Program Operations, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4276 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.051, Commodity Loans and Purchases; 10.154, Market Supervision and Assistance; 10.500, Cooperative Extension Service; 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.156 FEDERAL-STATE MARKETING IMPROVEMENT PROGRAM

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Marketing Act of 1946, Section 204b; 7 U.S.C. 1623(b).

**OBJECTIVES:** To solve marketing problems at the State and local level through pilot marketing service projects conducted by States.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Projects may deal in such areas as providing marketing services for improving the marketability of agricultural products, expanding export markets, improving economic and physical efficiency of marketing, and assembling and disseminating marketing information.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Department of Agriculture, or other appropriate State agencies.

**Beneficiary Eligibility:** Producers, processors, marketing agencies, and consumers.

**Credentials/Documentation:** A cooperative agreement is entered into between the administering Federal agency and the State agency which makes application. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The State agency submits an application and fund request setting forth specific nature of work to be undertaken and amount of funds required. This request is submitted to the Director of the Federal - State Marketing Improvement Program.

**Award Procedure:** The requests are reviewed and approved or disapproved by the Agricultural Marketing Service. Grantee is notified of the amount awarded by allotment letter. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Within 60 days.

**Appeals:** No formal appeal procedure.

**Renewals:** A project is approved for a period up to three years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** States contribute at least half the cost and perform the work with State personnel.

**Length and Time Phasing of Assistance:** Annual. Payments are made to the States on a quarterly basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial report, and annual narrative report of activities and project accomplishments submitted to the Director, Federal - State Marketing Improvement Program; field reviews by Federal - State Marketing Improvement Program staff personnel.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circula No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** States must keep accounting records on file to identify all items and amounts for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2501-0-1-352.

**Obligations:** (Grants) FY 81 $1,600,000; FY 82 est $1,000,000; FY 83 est $0. (No funds were requested.)

**Range and Average of Financial Assistance:** Range: from $1,000 to $242,500; Average: $61,500.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 26 States participated; 34 projects were funded. In fiscal year 1982, it is estimated that 16 States will participate; 21 projects are expected to be funded. In fiscal year 1983, it is estimated that no States will participate; no projects are expected to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A Guide to Procedures Relating to Marketing Service Programs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Federal-State Marketing Improvement Program, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-2704 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Electronic marketing; telephone auction systems; transportation cooporatives.

**CRITERIA FOR SELECTING PROPOSALS:** Project approval is based on several factors, including the urgency of the marketing problem, innovativeness of the projects and their impact on solving marketing problems.

## 10.162 INSPECTION GRADING AND STANDARDIZATION

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Marketing Act of 1946, 7 U.S.C. 1622a-J, 1-n; Cotton Statistics and Estimates Act, 7 U.S.C. 473d Cotton Futures Act, 7 U.S.C. 15b; Cotton Standards Act, 7 U.S.C. 51-65; Naval Stores Act, 7 U.S.C. 91-99, Tobacco Inspection Act, 7 U.S.C. 511 i-q; Wool Standards Act, 7 U.S.C. 415b-d, Egg Products Inspection Act, Public Law 91-597; 21 U.S.C. 1031-1056, Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To develop and apply standards of quality and condition for agricultural commodities; to participate and assist in the development of international agricultural standards; to maintain a uniform government food specification system; to provide continuous in-plant inspection of all plants that manufacture liquid frozen or dried egg products; to conduct quarterly inspection of egg handlers and hatcheries; to control the importation of egg products; and to ensure that imported products are produced under an inspection system equivalent to the United State's system.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** USDA grades are used by the owners of agricultural commodities and by dealers in these commodities to represent product quality. All plants processing egg products are required to be under continuous USDA egg products inspection. Hatcheries and shell egg handlers, except for producer-packers with an annual production from 3,000 hens or less packing for the retail consumer are required to be checked quarterly to determine the disposition of certain undergrade eggs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any owner of or dealer in agricultural commodities who (a) has a financial interest in the commodity to be graded and (b) is located within the United States and its Territories. All egg products processing plants located within the United States or its Territories. All hatcheries and shell egg handlers having an annual production from 3000 or more hens who pack for the retail consumer and are located within the U.S. or its Territories.

**Beneficiary Eligibility:** Buyers and sellers of agricultural commodities. Egg products processing plants and hatcheries and shell egg handlers having an annual production from 3000 or more hens who pack for the retail consumer and are located in the U.S. or its Territories.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Request for grading of a commodity must be submitted to local AMS grading office in writing. Egg product plants apply for inspection and eligible hatcheries apply for registration by contacting: Chief, Poultry Grading Branch, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250.

**Award Procedure:** The Department certifies that egg products plants meet the facility, sanitation, and operating requirements of the regulations for the inspection of eggs and egg products. Eligible hatcheries and shell egg handlers must complete registration forms.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** In cases in which applicants do not agree with the grade given, they may appeal for a review of the grade to the local AMS office.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2500-0-1-352; 12-9972-0-7-352.

**Obligations:** FY 81 $27,824,000; FY 82 est $114,373,000; and FY 83 est $114,333,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** (Number of bales of cotton classed in thousands) fiscal year 1981, 10,124 fiscal year 1982, estimate, 14,000; fiscal year 1983, estimate, 12,500. (Number of tobacco auction markets inspected fiscal year 1981, 168; fiscal year 1982, estimate, 163, fiscal year 1983, estimate, 163. (Pounds of tobacco inspected in millions) fiscal year 1981, 2,000; fiscal year

1982, estimate, 1,984; fiscal year 1983, estimate, 1,900. Pounds of poultry products graded (in millions): fiscal year 1982, estimate 12,695; fiscal year 1983, estimate 13,445. Pounds of meat Graded (in millions); fiscal year 1982, 12,630; fiscal year 1983, 12,630. Fresh fruit and vegetable grading (mil. lbs.); fiscal year 1982, 70,000; fiscal year 1983, 71,200.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 26-32, 41-70, 160-171, 205; AH-341, "USDA Standards for Food and Farm Products"; PA-675, Marketing Bulletin No. 37, "The Story of Cotton;" SB-570, Annual Report on Statistics, 1976, SB 605, "Annual Report on Tobacco Statistics, 1977"; MB-310, "The Classification of Cotton"; Misc. Pub. No. 867, "Tobacco in the U.S."; TB-1225, "Chemical Composition of Representative Grades of the 19 and 1954 Crops of Blue Cured Tobacco"; TB-81, "Tobacco Stocks Reports as on Jan. 1, 1978"; PA-797, "Different Grades and Staple Lengths From the Same Load of Cotton"; AIB-257, "Cotton Quality Relationships between Selected Measures of Quality and Fiber Yarn, and Processing Properties"; C and MS-82, "Cotton Testing Service"; AMS-180 "Cotton and Cotton Linters Standards"; MB-41, "Market News Service on Cotton"; AIB-335, "Summary of Cotton Fiber and Processing Test Results Crop of 1968, 1971, 1973, 1975, 1976"; "National Cotton Marketing Study Committee Reports"; AMS-573, "Facts About: Blue Cured Tobacco Grade Standards"; MB-43, "Market News Service on Tobacco and Naval Stores"; "Annual Report on Tobacco Statistics-1974"; SB-551, "Annual Report on Tobacco Statistics-1975." 7 CFR 2851, 2852, 2853, 2855, 2856, 2858, 2870, 28171; AH-341, "USDA Standards for Food and Farm Products." PA-675, "You Can Buy Quantity and Still Control Quality-Food Acceptance Service." PA-1027, "USDA Grade Standards for Food - How They are Developed and Used." AMS-520, "Official Grade Standards and Inpsection for Fresh Fruits and Vegetables." PA-803, "Processed Fruit and Vegetable Inspection at Your Service." AMS-545, "A Guide to Carcass Data Service (Beer)." C&MS-8 "USDA's Beef Carcass Evaluation Service." MB-45, "USDA Yield Grades for Beer". MB-47, "USDA's Acceptance Service for Meat and Meat Products." MB-49, "USDA Grades for Pork Carcasses." MB-52, "USDA Yield Grades for Lamb". MB-48, "Dairy Inspection and Grading Services". AH-31, "Poultry Grading Manual." AH-75, "Egg Grading Manual." Egg and Egg Products Inspection Regulations (7 CFR Part 2859).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local Agricultural Marketing Service inspection, grading, and classing offices are listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Administrator for Marketing Program operations, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4276. (Use same 7-digit number for FTS). Contact: Dr. William Marlay.

**RELATED PROGRAMS:** 10.154, Market Supervision and Assistance; 10.500, Cooperative Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.163 MARKET PROTECTION AND PROMOTION

**FEDERAL AGENCY: AGRICULTURAL MARKETING SERVICE**

**AUTHORIZATION:** Agricultural Marketing Act of 1946 (7 U.S.C. 1621-1 Act (7 U.S.C. 2101-2119); Egg Research and Consumer Information Act (7 U.S.C. 2701-2718); Export Apple and Pear Act (7 U.S.C. 581-590); Export Grape and Plum Act (7 U.S.C. 591-599); Federal Seed Act (7 U.S.C. 1551-1611); National Wool Act of 1954 (7 U.S.C. 1787); Plant Variety Protection Act (7 U.S.C. 2321-2331, 2351-2357, 2371-2372, 2401-2404, 2421-2427, 2441-2443, 2461-2463, 2481-2486, 2501-2504, 2531-2532, 2541-2545, 2561-2569, 2581-2583); Tobacco Seed and Plant Exportation Act (7 U.S.C. 516-517); U.S. Warehouse Act (7 U.S.C. 241-273); Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 1242 Note; 3401-3417).

**OBJECTIVES:** The Warehouse Inspection Program assures proper storage of warehoused products and the integrity of warehouse receipts certifying the quantity and quality of products on hand. The issuance and use of these receipts enables farmers to obtain loans for their products in storage, and facilitates trading in the commodities. Half of the grain warehouse examination costs are covered by industry fees, the remainder paid by CCC. All of the cotton warehouse examination costs are covered by appropriation. The Federal Seed Program prevents mislabeled seed from moving in interstate commerce by providing for random sampling of seeds to insure accurate labeling of seed characteristics. The Plant Variety Protection Program offers legal protection to developers of new varieties of plants which reproduce by providing the equivalent of a patent to the plant's developer. The Research and Promotion Programs provide for the collection of an assessment for each commodity covered by statutes to enable the commodity industries to carry out research and promotion activities. It is the responsibility of the Agricultural Marketing Service to assure responsible use of these assessments in meeting the research and promotion objective. The Tobacco Export Program prohibits the exportation of domestic seed and live tobacco plants from the U.S. except for experimental purposes.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:** None.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As provided for in applicable Acts as referred to in Authorization Section above.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** As provided for in applicable Acts.

**Application Procedure:** Vary as provided for in appplicable Acts. Contact appropriate area offices as listed in address appendix for specific information.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** As provided for in applicable Acts.

**Renewals:** As provided for in applicable Acts.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As provided for in applicable Acts.

**Audits:** As provided for in applicable Acts.

**Records:** As provided for in applicable Acts.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2500-0-1-352.

**Obligations:** FY 81 $5,510,000; FY 82 est $2,852,000; and FY 83 est $2,023,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Number of unannounced examinations; fiscal year 1981, 3,590; fiscal year 1982, 307; fiscal year 1983, 187. Seed samples tested; fiscal year 1981, 19,964; fiscal year 1982, 18,000; fiscal year 1983, 13,000. Plant variety certificates of protection issued fiscal year 1981; 108, fiscal year 1982, 120; fiscal year 1983, 70.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PA-655 "Export Fruit Acts-Questions & Answers," C&MS-75, "Questions, & Answers About the Federal Seed Act." C & MS-89, "The plant Variety Protection Act" PA-917, "Truth in Seed Labeling."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional and local offices are listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Administrator for Marketing Program Operations, Agricultural Marketing Service.

**RELATED PROGRAMS:** 10.155, Marketing Agreements and Orders.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.164 WHOLESALE MARKET DEVELOPMENT

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Agricultural Marketing Act of 1946.

**OBJECTIVES:** To increase overall food marketing efficiency thereby lowering the cost of marketing food.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Assistance provided in cooperation with other government agencies and private industry to reduce marketing costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Other government agencies and private industry.

**Beneficiary Eligibility:** Producers, processors, marketing agencies and consumers.

**Credentials/Documentation:** As provided for in the Act.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact Director of Market Research and Development Division, Agricultural Marketing Service.

**Award Procedure:** As provided for in the Act.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** As provided for in the Act.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As provided for in the Act.

**Audits:** As provided for in the Act.

**Records:** As provided for in the Act.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2500-0-1-352.

**Obligations:** FY 81 $1,141,000; FY 82 est $1,463,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Studies and projects completed; fiscal year 1981, 15; fiscal year 1982, 20; fiscal year 1983, 0.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Marketing Research and Development Division, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-3075 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.165 PERISHABLE AGRICULTURAL COMMODITIES ACT

**FEDERAL AGENCY:** AGRICULTURAL MARKETING SERVICES

**AUTHORIZATION:** Perishable Agricultural Commodities Act, 1930 as amended (7 U.S.C. 499a-499s), Produce Agency Act (7 U.S.C. 491-497).

**OBJECTIVES:** To suppress unfair and fraudulent practices in the marketing of perishable agricultural commodities in interstate and foreign commerce. To prevent the destruction or dumping, with good and sufficient cause of farm produce received in interstate commerce by commission merchants and others and to require them truly and correctly to account for all farm produce received by them.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Assistance provided to assure a fair and open marketing distribution system for agricultural products. No specific restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Business and industry or individuals may apply for a PACA license.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As provided for in applicable Acts as referred to in Authorization Section above.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact appropriate area offices listed in address appendix for specific information.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** As provided for in applicable Acts.

**Renewals:** As provided for in applicable Acts.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As provided for in applicable Acts.

**Audits:** As provided for in applicable Acts.

**Records:** As provided for in applicable Acts.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-5070-0-2-352.

**Obligations:** FY 81 $2,466,000; FY 82 est $2,753,000; and FY 83 est $2,753,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Number of license actions completed in fiscal year 1981, 16,990; fiscal year 1982, 16,550; fiscal year 1983, 16,550.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PA-794 "What Food Producers should know about the Perishable Agricultural Commodities Act," PA-804 "The Perishable Agricultural Commodities Act - Fair Trading in the Fruit and Vegetable Industry."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional and local offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Administrator for Marketing program operation, A.M.S.

**RELATED PROGRAMS:** 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# COOPERATIVE STATE RESEARCH SERVICE

## 10.200 GRANTS FOR AGRICULTURAL RESEARCH, SPECIAL RESEARCH GRANTS

### (Special Research Grants)

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 2(c) of Public Law 89-106 (7 U.S.C. 450i) as amended by Section 1414 of Public Law 95-113 and Section 1415 of Public Law 97-98.

**OBJECTIVES:** To carry out research to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the nation and to facilitate or expand on-going State-Federal food and agricultural research programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Areas of basic and applied research are generally limited to high priority problems of a regional or national scope. Areas currently considered are soybean, animal health, energy, aquaculture, antidesertification, and food quality and safety research.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For Objective 1. Land-grant colleges and universities, research foundations established by land-grant colleges and universities, and State agricultural experiment stations and all colleges and universities having a demonstrable capacity in food and agricultural research as determined by the Secretary of Agriculture. For Objective 2. Land-grant colleges and universities and State agricultural experiment stations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All grant announcements are published in the Federal Register.

**Application Procedure:** Standard department procedures. Proposals/project outlines required including but not limited to title, objectives, plan of work, principal investigator(s) with brief biographical sketch(es) and a list of four or five recent significant publications, facilities and major equipment available, duration (5 year maximum) and budget including grantee's inputs. Application procedures are contained in S&E Research Grant Application Kit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are analyzed by independent panels of scientists with results reduced to integral ratings. Administrative analysis of rating, including institutional capabilities and appropriateness yield outstanding proposals that are funded within appropriation limitations. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the Federal Register for each fiscal year.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** None.

**Renewals:** Requests for continued support must be documented as new proposals are considered in equal competition with other pending proposals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching requirement, but cost sharing is generally practiced.

**Length and Time Phasing of Assistance:** 1 to 5 years. Funds provided intermittently upon request as needed to finance current operations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial report due December 1. Annual progress report due February 15. Final financial and final summary progress report.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Maintained by grant or project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $17,194,220; FY 82 est $21,922,970; and FY 83 est $21,462,220.

**Range and Average of Financial Assistance:** $18,225 to $150,000; $81,901.

**PROGRAM ACCOMPLISHMENTS:** Significant accomplishments include a new method for preventing lead poisoning in livestock; development of a nondestructive test for measuring seedling vigor of soybeans; development of a vaccine against bronchopneumonia in calves; and use of an integrated pest management system in cotton.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SEA Form 638, General Provisions for Grants and Cooperative Agreements.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Cooperative State Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4423 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.207, Animal Health and Disease Research, 10.208, Alcohol Fuels Research.

**EXAMPLES OF FUNDED PROJECTS:** Evaluation of Carbon Losses by Soybean Plants; Genetic Improvement of Resistance to Mastitis in Dairy Cattle; Woody Bioenergy Crops on Marginal Land; Environmental Gill Disease in Rainbow Trout; Ground and Aerial Assessment of Semiarid Rangelands.

**CRITERIA FOR SELECTING PROPOSALS:** Within guidelines established for the program; overall scientific and technological quality of proposal; research competence of the principal investigator(s), research team and support personnel; adequacy of facilities, equipment, and related program support; justification of support requested in relation to objectives and procedures; feasibility of attaining objectives during life of proposed research; awareness of published literature and current research related to proposed research; relevance of importance of proposed research to solution of specific areas of inquiry; and estimate of expected benefits.

## 10.202 COOPERATIVE FORESTRY RESEARCH

### (McIntire-Stennis Act)

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Cooperative Forestry Research Act of October 10, 1962, Public Law 87-788, 16 U.S.C. 582a-582a-7; Section 506, Education Amendments of 1972, Public Law 92-318; Section 1361, Education Amendments of 1980, Public Law 96-374, 7 U.S.C. 301 note; Public Law 97-98.

**OBJECTIVES:** To encourage and assist the States in carrying on a program of forestry research at forestry schools, and to develop a trained pool of forest scientists capable of conducting needed forestry research.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Forestry research at certified State institutions in the nine categories which follow: (1) reforestation and management of land for the production of crops of timber and other related products of the forest; (2) management of forest and related watershed lands to improve conditions of waterflow and to protect resources against flood and erosion; (3) management of forest and related rangeland for production of forage and domestic livestock and game and improvement of food and habitat for wildlife;(4) management of forest lands for outdoor recreation; (5) protection of forest lands for outdoor recreation; (6) protection of forest land and resources against fire, insects, diseases, or other destructive agents;(7) utilization of wood and other forest products; (8) development of sound policies for the management of forest lands and the harvesting and marketing of forest products; and (9) such other studies as may be necessary to obtain the fullest and most effective use of forest resources.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available in Guam, Puerto Rico, the Virgin Islands, American Samoa, and Micronesia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** No application required for the release of funds but funds can be expended only on projects approved by CSRS. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Act provides that the apportionment among States shall be determined by the Secretary after consultation with a National Advisory Council. The statistical factors used for fund allocation are: (1) area of non-Federal commercial forest land (40%) (and the source is "An Analysis of the Timber Situation in the U.S.," 1952-2030, FS/USDA), (2) volume of timber cut annually from growing stock (40%) (and the source is "An Analysis of the Timber Situation in the U.S.," 1952-2030, FS/USDA), (3) non-Federal funds expended for forestry research (20%) (and the source is "Current Research Information System"). The statistical factor used for fund allocation does not apply to this program. The Act limits the Federal payments to amounts made available and budgeted from non-Federal sources for expenditure for forestry research.

**Length and Time Phasing of Assistance:** One year subsequent to year of appropriation up to 5 percent of unobligated balance September 30 carried over for obligation in subsequent year. Funds released as needed to finance current operations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fiscal year annual plan of work due August 15 of each year the fiscal year starting in October. Annual Program Financial Report due December 1. Annual Progress Report due February 15. Certification of Offset and Certification of Entitlement due prior to October 1 Past Year Obligations by Project due December 15.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Maintained by project. Retain payment documents 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $10,450,780; FY 82 est $11,670,070; and FY 83 est $10,482,790.

**Range and Average of Financial Assistance:** $31,826 to $412,282; $194,501.

**PROGRAM ACCOMPLISHMENTS:** Sixty State colleges and universities participated in the program in fiscal year 1981. Important results reported included contributions to knowledge on forest pest control, revegetation of strip mine spoils, southern pine seedlings from tissue cultures, reducing impact of timber harvest on the environment, relationship of timber harvest to wildlife, more efficient use of timber in furniture production, and non-sulfur pulp and paper manufacture. There were 743 graduate students working on approximately 753 projects in 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Administrative Manual for the McIntire-Stennis Cooperative Forestry Research Program, January, 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Cooperative State Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4423 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.207, Animal Health and Disease Research; 10.208, Alcohol Fuels Research.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.203 PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER HATCH ACT

### (Hatch Act)

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Hatch Act of 1887 as amended by the Act of August 11, 1955, Public Law 84-352, 7 U.S.C. 361a-361i; Section 506, Education Amendments of 1972, Public Law 92-318; Public Law 93-471; Public Law 95-113; Section 1361, Education Amendments of 1980, Public Law 96-374, 7 U.S.C. 301 note; Public Law 97-98.

**OBJECTIVES:** To support agricultural research at State Agricultural Experiment Stations. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Moneys appropriated pursuant to this Act shall also be available, in addition to meeting expenses for research and investigations conducted under authority of Section 2, for printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research. The State Agricultural Experiment Stations are authorized to plan and conduct any research authorized under Section 2 of this Act in cooperation with each other and such other agencies and individuals as may contribute to the solution of the agricultural problems involved, and moneys appropriated pursuant to this Act shall be available for paying the necessary expenses of planning, coordinating and conducting such cooperative research.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Agricultural Experiment Stations identified and declared eligible by their respective State legislatures. Funds are appropriated by Congress for distribution to States in accordance with the statutory formula as stated in the Act. This program is available in the District of Columbia, Guam, Puerto Rico, the Virgin Islands, American Samoa, and Micronesia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** No application necessary for the release of funds but funds can only be expended on projects approved by CSRS. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula: Payments to States for fiscal year 1955 was a fixed base and sums appropriated in excess of 1955 level use the following fund allocation statistical factors: (1) 20 percent allotted equally to each State- not less than 52 percent to States as follows: one-half in an amount which bears the same ratio as the rural population of the State bears to the total rural population of all the States (and the source is the 1980 Decennial Census) and (2) one-half in an amount which bears the same ratio as the farm population of the State bears to the total farm population of all the States (and the source is the 1970 Decennial Census)- not more than 25 percent to States for cooperative research in which 2 or more State Agricultural Experiment Stations are cooperating to solve problems of the agriculture of more than one State. The statistical factor used for eligibility does not apply to this program. Matching requirement: any amount in excess of $90,000 available under the Act for allotment to any State, exclusive of the regional research fund.

**Length and Time Phasing of Assistance:** Fiscal year appropriated. Unobligated balance September 30 deducted from subsequent year allocation. Funds released quarterly under Letter of Credit procedure.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fiscal year annual plan of work due August 15 of each year for the fiscal year starting in October. Annual Program Financial Report due December 1. Annual Progress Report due February 15. Certification of Offset and Certification of Entitlement due prior to October 1. Past Year Obligations by Project due December 15.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Maintained by project. Retain payment documents 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $124,291,958; FY 82 est $137,125,621; and FY 83 est $140,410,041.

**Range and Average of Financial Assistance:** $521,669 to $5,111,547; $2,364,235.

**PROGRAM ACCOMPLISHMENTS:** Basic and applied agricultural research supports efficient production, marketing, distribution, and utilization of agricultural commodities. Programs also include research related to environmental quality, rural development, and human nutrition.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Administrative Manual for the Hatch (Experiment Station) Act as amended, Agricultural Handbook No. 381; Manual of Procedures for Cooperative Regional Research, SEA-CR/OD-1082.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Cooperative State Research Service, Department of Agriculture, Washington, DC 20250 Telephone: (202) 447-4423 (Use 7-digit number for FTS).

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.500, Cooperative Extension Service; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.207, Animal Health and Disease Research; 10.208, Alcohol Fuels Research.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.205 PAYMENTS TO 1890 LAND-GRANT COLLEGES AND TUSKEGEE INSTITUTE

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 1445 of the National Agricultural Research, Extension and Teaching Policy Act of 1977, Public Law 95-113; Public Law 95-547; Public Law 97-98.

**OBJECTIVES:** To support continuing agricultural research at colleges eligible to receive funds under the Act of August 30, 1890 (26 Stat. 417-419, as amended; 7 U.S.C. 321-326 and 328), including Tuskegee Institute. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Moneys appropriated pursuant to Public Law 95-113, Section 1445, shall be used for expenses of conducting agricultural research, printing, disseminating the results of such research, contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 39-40, as amended; 7 U.S.C. 331), administrative planning and direction, and purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting agricultural research. The eligible institutions are authorized to plan and conduct agricultural research in cooperation with each other and such agencies, institutions, and individuals as may contribute to the solution of agricultural problems, and moneys appropriated pursuant to Section 1445 shall be available for paying the necessary expenses of planning, coordinating, and conducting such cooperative research.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Sixteen 1890 Land-Grant Colleges and Tuskegee Institute as specified in the Act. Funds are appropriated by Congress for distribution to eligible institutions in accordance with the statutory formula as stated in the Act. This program is available in the States of Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, and Virginia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** No application neccessary for the release of funds but funds must be accounted for by projects previously approved by CSRS. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching requirement. Beginning with the fiscal year ending September 30, 1979, there shall be appropriated under this section for each fiscal year an amount not less than 15 per centum of the total appropriations for such year under Section 3 of the Act of March 2, 1887 (24 Stat. 441, as amended; 7 U.S.C. 361c): Provided, that the amount appropriated for the fiscal year ending September 30, 1979, shall not be less than the amount made available in the fiscal year ending September 30, 1978, to such eligible institutions under the Act of August 4, 1965 (79 Stat. 431, 7 U.S.C. 450i). Beginning with the fiscal year ending September 30, 1979, the funds appropriated in each fiscal year under this Section use the following fund allocation statistical factors: 1. Three per centum shall be available to the Secretary for administration of this Section. 2. The remainder shall be allotted among the eligible institutions as follows: a) Funds up to the total amount made available to all eligible institutions in the fiscal year ending September 30, 1978, under Section 2 of the Act of August 4, 1965 (79 Stat. 431; 7 U.S.C. 450i), shall be allocated among the eligible institutions in the same proportion as funds made available under Section 2 of the Act of August 4, 1965, for the fiscal year ending September 30, 1978, are allocated among the eligible institutions. b) Of funds in excess of the amount allocated under subparagraph (a) of this paragraph, 20 per centum shall be allotted among eligible institutions in equal proportions; 40 per centum shall be allotted among the eligible institutions in the proportion that the rural population of the State in which each eligible institution is located bears to the total rural population of all the States in which eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional is first appropriated; and the balance shall be allotted among the eligible institutions in the proportion that the farm population of the State in which each eligible institution is located bears to the total farm population of all the States in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated and the source is the 1980 Decennial Census. In computing the distribution of funds allocated under this subparagraph, the allotments to Tuskegee Institution and Alabama Agricultural and Mechanical University shall be determined as if each institution were in a separate State. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** Fiscal year appropriated. Unobligated balance on September 30 deducted from subsequent year allocation. Funds released quarterly under Letter of Credit procedure.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fiscal year annual plan of work due August 15 of each year for the fiscal year starting in October. Annual Program Financial Report due December 1. Annual Progress Report due February 15. Past year obligations by project due December 15.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Maintained by project. Retain payment documents 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $18,064,015; FY 82 est $20,847,240; and FY 83 est $21,023,780.

**Range and Average of Financial Assistance:** $433,885 to $1,959,840; $1,226,308.

**PROGRAM ACCOMPLISHMENTS:** The Colleges of 1890 and Tuskegee have as their primary objective the development of programs to deal with problems of the rural poor. The primary emphasis to date is developing crop and livestock enterprises for limited resource farmers, developing nutrition programs to monitor and improve the nutritional status of limited income families and studying means of improving economic opportunities for rural people.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Cooperative State Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4423 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.500, Cooperative Extension Service; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.207, Animal Health and Disease Research; 10.208, Alcohol Fuels Research.

**EXAMPLES OF FUNDED PROJECTS:** Not appicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.206 GRANTS FOR AGRICULTURAL RESEARCH—COMPETITIVE RESEARCH GRANTS

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 2(b) of Public Law 89-106, 7 U.S.C. 450i as amended by Section 1414 of Public Law 95-113 and Section 1415 of Public Law 97-98.

**OBJECTIVES:** To promote research in food, agriculture, and related areas to further the programs of USDA through the award of research grants on a competitive basis.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The selected areas for research are: biological nitrogen fixation, biological stress on plants, photosynthesis, genetic mechanisms of crop improvement, and human requirements for nutrients. Grant funds may be used for costs necessary to conduct research (salaries and wages, scientific equipment, materials and supplies, travel, publication costs, and other allowable direct and indirect costs). Primary responsibility for general supervision of all grant activities rests with the grantee organization; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Agricultural Experiment Stations, U.S. colleges universities, other U.S. research institutions and organizations, Federal agencies, private organizations or corporations, and individuals. Proposals from scientists at non-U.S. organizations will not be considered for support.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Each prospective grantee organization must furnish the organizational information and assurances specified in the guidelines.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All grant announcements are published in the Federal Register.

**Application Procedure:** Formal proposal to Competitive Grants Office, USDA/CSRS as outlined in the guidelines. Application procedures are contained in S&E Research Grant Application Kit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Competitive Grants Office staff members review and evaluate all proposals with the assistance and advice of a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the Federal Register for each fiscal year. Deadlines for submission of FY 1981 proposals were January 29, 1981 to February 16, 1981.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** None.

**Renewals:** Proposals for renewal, should be submitted 6 months before the expiration date of the award. Renewals are treated in competition with all other pending proposals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Normally, competitive research projects will be supported for periods of up to 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports within 90 days after anniversary of grant effective date and final technical report. Federal Cash Transaction Reports and Financial Status Reports as in Attachment G of OMB Circular A-110.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during life of the grant and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $15,520,000; FY 82 est $15,830,400; and FY 83 est $22,193,600.

**Range and Average of Financial Assistance:** $10,000 to $220,000; $74,976.

**PROGRAM ACCOMPLISHMENTS:** There were 793 proposals received and 207 grants awarded in 1981. Significant accomplishments include research on the use of a fungus to control crop damage caused by the Colorado potato beetle; discovery of a metabolic pathway for synthesis and transport of sucrose in crop plants; study of factors influencing folic acid nutrition during infancy; and discovery of a direct correlation of bacteroid number, size, and nucleic acid content with the activity of the nitrogen fixing enzyme in alfalfa nodules.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Pages 61822-61826, Federal Register, Vol. 46, No. 243, Part III, December 18, 1981; SEA Form 638, General Provisions for Grant and Cooperative Agreements.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Competitive Research Grants Office, Cooperative State Research Service, Department of Agriculture, 1300 Wilson Boulevard, Suite 103, Arlington, VA 22209. Telephone: (703) 235-2628.

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.207, Animal Health and Disease Research; 10.208, Alcohol Fuels Research.

**EXAMPLES OF FUNDED PROJECTS:** Essential Fatty Acids and the Immune Response; Interactions of Plant Viruses with their Hosts; Genetic Relationships Between Physiological Traits and Drought Tolerance; Nitrogen Photoreactions on Desert Sands; Structural Studies of Chlorophyll-Protein Complexes.

**CRITERIA FOR SELECTING PROPOSALS:** 1. The scientific merit of the proposal, including the suitability and feasibility of the approaches and methodology. 2. The probability that the research will contribute to important discoveries or significant breakthroughs in food production or human nutrition, in relation to the mission of this program. 3. The qualifications of the principal investigator and other senior personnel, such as training, demonstrated awareness of previous and alternative approaches to the problem, and performance record and/or potential for future accomplishment. 4. The probable adequacy of available or obtainable facilities, equipment, instrumentation, and technical support. Basic research grants will be considered in selected areas of plant biology and in certain areas of human nutrition, which have been considered by a number of scientific groups to possess exceptional opportunity for fundamental scientific discovery and for contributing, in the long run, to applied research and development vitally needed on important food and nutrition problems. Consideration will be given to research proposals which address fundamental questions in the relevant areas and which are consistent with the long-range missions of USDA.

## 10.207 ANIMAL HEALTH AND DISEASE RESEARCH

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1433, Public Law 95-113, as amended by Section 1429, Public Law 97-98.

**OBJECTIVES:** To support animal health and disease research at eligible Schools and Colleges of Veterinary Medicine, and State Agricultural Experiment Stations whose purpose is to improve the health and productivity of food animals and horses through effective prevention, control or treatment of disease, reduction of losses from transportation and other hazards, and protect human health through control of animal diseases transmissible to people.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Research on animal health and disease of food animals and horses conducted in eligible institutions under the following categories: 1) Infectious diseases; 2) internal and external parasites; 3) noninfectious diseases, toxins, poisons, transportation losses, predators and other hazards; 4) diseases and parasites of wildlife transmissible to animals transmissible to food animals and horses; and 5) diseases and parasites of animals transmissible to people.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligibility is restricted to the following public nonprofit institutions having demonstratable capacity in animal and disease research: 1) Schools and Colleges of Veterinary Medicine; 2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible institutions within the States in accordance with the statutory formula as stated in the Act. This program is available in the District of Columbia, Guam, Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The current capacity in food animal health and disease research must be documented annually by eligible institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All eligible institutions must file a current, certified list of animal health and disease research capacity prior to the fiscal year for which funds are appropriated.

**Application Procedure:** No application is necessary but payment of funds is contingent on the approval of an annual plan for programs to be conducted. Funds can be expended only on projects approved by CSRS. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Act provides that the Secretary in consultation with the Animal Health Science Research Advisory Board shall distribute 48 percent of the funds to the States on the basis of livestock value and income as determined by the U.S.D.A. data. Forty-eight percent of the funds shall be distributed on the basis of animal health and disease research capacity of eligible institutions. Distribution of a State's allocation among its eligible institutions is made on the basis of the animal health research capacity of these institutions. Animal health research capacity is measured by the annual expenditures (excluding Section 1433 funds) and scientist year equivalents in animal health and disease research in eligible institutions. The Act limits the annual Federal payment a State may receive in excess of $100,000 to that amount made available and budgeted from non-Federal sources for expenditures on animal health and disease research.

**Length and Time Phasing of Assistance:** Funds must be expended or obligated in the year for which the appropriation was made. Unliquidated obligations must be paid in the fiscal year following the year of appropriation. Funds are released quarterly as needed to finance current operations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fiscal year annual plan of work due August 15 of each year for the fiscal year starting in October. Annual program Financial Report due December 1. Annual Progress Report due February 15. Certification of offset and entitlement due prior to October 1. Past year Obligations by Project due December 15.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Maintained by project. Retain payment documents 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $6,240,000; FY 82 est $5,529,600; and FY 83 est $0. (No funds requested.)

**Range and Average of Financial Assistance:** $2,347 to $343,157; $81,318.

**PROGRAM ACCOMPLISHMENTS:** More than 400 projects are being conducted to solve health and disease problems of food animals and horses. Vaccines and/or diagnostic tests have been developed or improved for major livestock and poultry diseases such as brucellosis and pinkeye in cattle, pseudorabies in swine, influenza and colibacillosis in turkeys, and bluetongue and ram epididymitis in sheep. Causative agents and mechanisms of protective resistance are being clarified in mastitis, resperatory, enteric and reproductive diseases of livestock and poultry. Results of this research are being applied in the prevention, eradication and control of food animal diseases and in the prevention of animal diseases transmissible to people.

**REGULATIONS, GUIDELINES, AND LITERATURE:** In preparation: Administrative Manual for Animal Health Research, authorized by Subtitle E, Title XIV, Sections 1433 and 1434 of Public Law 95-113, as amended.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Cooperative State Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4423 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.025, Plant and Animal Disease and Pest Control; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.500, Cooperative Extension Service; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.208, Alcohol Fuels Research.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.208 ALCOHOL FUELS RESEARCH

**FEDERAL AGENCY:** COOPERATIVE STATE RESEARCH SERVICE

**AUTHORIZATION:** Section 1419 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, Public Law 95-113; Section 252 of the Energy Security Act, Public Law 96-294; Section 1422 of the National Agricultural Research, Extension, and Teaching Policy Act Amendments of 1981, Public Law 97-98.

**OBJECTIVES:** To conduct research on the evaluation (including economic), treatment, and conversion of biomass resources for the manufacture of ethyl alcohol.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Conduct research relating to development of the most economical and commercially feasible means of collecting and transporting wastes, residues, and by products for use as feedstocks for the production of alcohol and other forms of biomass energy. At least 25 percent of the funds appropriated under this section shall be made available for research relating to the production of alcohol, to identify and develop agricultural commodities (including alfalfa, sweet sorghum, black locust and cheese whey) which may be suitable for such production. At least 25 percent of the funds appropriated under this section shall be made available for research relating to the development of technologies for increasing the energy efficiency and commercial feasibility of alcohol production including processes of cellulose conversion and cell membrane technology.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Colleges, universities, Government corporations, and Federal laboratories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All grant announcements are published in the Federal Register.

**Application Procedure:** Standard department procedures. Proposals/project outlines required including but not limited to title, objectives, plan of work, principal investigator(s) with brief biographical sketch(es) and a list of four or five recent significant publications, facilities and major equipment available, duration (5 year maximum) and budget including grantee's inputs. Application procedures are contained in S&E Research Grant Application Kit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are analyzed by independent panels of scientists with results reduced to integral ratings. Administrative analysis of rating, including institutional capabilities and appropriateness yield outstanding proposals that are funded within appropriation limitations. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the Federal Register for each fiscal year.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** None.

**Renewals:** Requests for continued support must be documented as new proposals are considered in equal competition with other pending proposals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching requirement, but cost sharing is generally practiced.

**Length and Time Phasing of Assistance:** 1 to 5 years. Funds provided intermittently upon request as needed to finance current operations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial report due December 1. Annual progress report due February 15. Final financial and final summary progress report.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Maintained by grant or project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1500-0-1-352.

**Obligations:** (Grants) FY 81 $485,000; FY 82 est $523,800; and FY 83 est $523,800.

**Range and Average of Financial Assistance:** $10,000 to $100,000; $80,833.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 81 proposals were submitted and 5 grants were awarded. Research has ranged from genetic engineering of yeasts to examining efficiencies of on-farm alcohol production units.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SEA Form 638, General Provisions for Grants and Cooperative Agreements.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Cooperative State Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4423 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.206, Grants for Agricultural Research—Competitive Research Grants; 10.207, Animal Health and Disease Research.

**EXAMPLES OF FUNDED PROJECTS:** Improvement of Yeast Alcohol Fermentation via Genetic Engineering; Evaluation of a Steam Explosion Pretreatment of Alcohol Production from Biomass; Xylose Fermentation by Yeast; Ethanol from Zymomonas Fermentation-Improving Tolerance and Production Level; Construction of Yeast Strains Exhibiting Elevated Levels of Ethanol Production.

**CRITERIA FOR SELECTING PROPOSALS:** Within guidelines established for the program; overall scientific and technological quality of proposal; research competence of the principal investigator(s), research team and support personnel; adequacy of facilities, equipment, and related program support; justification of support requested in relation to objectives and procedures; feasibility of attaining objectives during life of proposed research; awareness of published literature and current research related to proposed research; relevance of importance of proposed research to solution of specific areas of inquiry; and estimate of expected benefits.

# ECONOMIC RESEARCH SERVICE

## 10.250 AGRICULTURAL AND RURAL ECONOMIC RESEARCH

**FEDERAL AGENCY:** 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-82, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq; Public Law 97-103, Making Appropriations for Agriculture, Rural Development, and Related Agencies, 1982.

**AUTHORIZATION:** 7 U.S.C. 1621-1627; and 7 U.S.C. 1761.

**OBJECTIVES:** To formulate, develop, and administer programs of economic research, analysis, and information related to national and international food and agriculture, natural resources, and rural communities.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Staff economists undertake economic research and analyses on international, national or regional problems. State and local governments, individuals, organizations, and communities may find the information of interest and useful for resolving their problems. The agency does not initiate research projects for which the results would prove useful solely to an individual, or special interest group.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Requests are made to the Director of Information, EMS, 500 12th St. S.W. Washington DC 20250.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1701-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $39,487,000; FY 82 est $39,360,000; and FY 83 est $40,584,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The ERS has about 150 active research projects in economics. Approximately 500 publications or papers are authored by the staff annually. The publications cover a wide range of topics including Outlook and Situation Reports about commodities, export and import of farm products, food consumption, farm programs, agricultural marketing, farm inputs, rural development and natural resources management.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Periodicals (annual listing of publications issued by EMS), no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Economic Research Service, Department of Agriculture, 500 12th Street S.W., Washington, DC 20250. Telephone: (202) 447-8104 (Use same 7-digit number for FTS). Contact: John Lee.

**RELATED PROGRAMS:** 10.153, Market News; 10.900, Great Plains Conservation; 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# AGRICULTURAL COOPERATIVE SERVICE

## 10.350 TECHNICAL ASSISTANCE TO COOPERATIVES

**FEDERAL AGENCY:** AGRICULTURAL COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Cooperative Marketing Act of 1926; 7 U.S.C. 451-457; Agricultural Marketing Act of 1946; 7 U.S.C. 1621-1627.

**OBJECTIVES:** To formulate, develop, and administer research and technical assistance programs on financial, organization, management, legal, social, and economic aspects of cooperatives.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides technical assistance, research, and counseling services to rural and farmer cooperatives, and to groups of farmers and other rural residents interested in forming cooperatives.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Rural and farmer cooperatives, and groups of farmers and other rural residents, including those located in the U.S. Territories, interested in forming cooperatives.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Requests for technical assistance by a cooperative should be a resolution from the cooperative board of directors. Requests for assistance in forming a co-op should be made in writing on behalf of producers or rural residents interested in forming a cooperative.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter to the Administrator, Agricultural Cooperative Service office listed below.

**Award Procedure:** ACS responds to each request.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Requests are usually acted upon within 15 to 30 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Technical assistance projects range from a single work-day to one-half a work-year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3000-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $4,461,000; FY 82 est $4,639,000; and FY 83 est $3,683,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, ACS provided technical assistance to many rural cooperatives and rural groups interested in organizing cooperatives.

**REGULATIONS, GUIDELINES, AND LITERATURE:** List of publications- Periodicals (annual listing of publications issued by ACS), no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Administrator Agricultural Cooperative Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-8870 (Use same 7-digit number for FTS). Contact: Randall E. Torgerson.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.375 HUMAN NUTRITION INFORMATION SERVICE

**FEDERAL AGENCY:** HUMAN NUTRITION INFORMATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Research and Marketing Act of 1946, as amended; Public Law 95-113.

**OBJECTIVES:** To provide information relative to research conducted by HNIS on food consumption, food composition, and nutrition education. To provide human nutrition information to government agencies with missions related to nutrition, private industry, consumers and consumer groups.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Results of research are available to the public upon request after public disclosure. Research results and educational materials contributed to national goals of dissemination and utilization of scientific knowledge.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals, State and local governments, educational organizations, research societies, business and industry including those located in U.S. territories may apply for research contracts. Anyone is eligible for technical information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter to Human Nutrition Information Service for contracts, technical information, and educational materials.

**Award Procedure:** Contract Review Committee considers each proposal, evaluates the qualifications of applicant in line with research undertaken and determines priority for final negotiations.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not available.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3501-0-1-352.

**Obligations:** FY 81 $8,208,000; FY 82 est $9,203,000; and FY 83 est $8,289,000.

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** Accomplishments include the Nationwide Food Consumption Survey and supplemental surveys; the Nutrient Data Bank; maintenance of the food and nutrition component of AGRICOLA.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Bulletins, both technical and popular, are available to the public. For information on human nutrition and food, contact Human Nutrition Information Service, U.S. Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7711.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Human Nutrition Information Service, U.S. Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7711. Attn: John Bode, Acting Administrator.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Analyses of 1977-78 Nationwide Food Consumption Survey; Methodological study of food consumption survey techniques; Survey of infant feeding practices; Analyses of the nutrient content of food.

**CRITERIA FOR SELECTING PROPOSALS:** Relevance to program objectives; scientific merit; qualifications of principal investigator and institution; cost.

## 10.404 EMERGENCY LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Subtitle C, Sections 321-328; Public Law 92-419; 7 U.S.C. 1961 through 1969; and amended by Public Law 96-302 and Public Law 96-438.

**OBJECTIVES:** To assist farmers, ranchers and aquaculture operators with loans to cover losses resulting from major and/or natural disasters; for annual farm operating expenses; and, for other essential needs necessary to return disaster victims' farming operation(s) to a financially sound basis in order that they will be able to return to private sources of credit as soon as possible.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** The loan may be used to repair, restore, or replace damaged or destroyed farm property (real and chattel) and supplies which were lost or damaged as a direct result of a natural disaster; provide annual production loans for up to three full crop-years following the disaster (except that borrowers indebted for emergency loans on December 15, 1979, the number of subsequent EM annual production loans are limited to a period not to exceed six full calendar years after the disaster) to enable the disaster victims time to recover from their losses and return to conventional credit; under certain conditions, refinance secured and unsecured debts made necessary by the disasters; finance adjustments in the farming, ranching or aquaculture operation(s) determined necessary to restore or maintain applicants on a sound financial basis equivalent to their predisaster potential. The total amount of all loans for all purposes must not exceed the applicants repayment ability. The total of all actual loss loans is based on actual dollar value of production and physical losses, and they will be for: (1) disasters occurring on or after July 1, 1976, and prior to October 1, 1978, at 3 percent interest rate on amounts not to exceed $250,000 for EM loans for actual losses and five percent interest rate on amounts not to exceed $500,000 per disaster; (2) disasters occurring October 1, 1978 through September 30, 1981, all actual loss loans are at five percent interest with a maximum limit of $500,000 per disaster. (3) disasters occuring after October 1, 1981, all actual loss loans are at an 8 - percent interest rate with a maximum limit of $500,000 per disaster. Any additional financing above the value of actual losses will be at a market rate of interest as established periodically by the Secretary of Agriculture. Applicants who suffered losses from disasters occurring after July 2, 1980, and who can obtain credit elsewhere may receive a loan(s) for actual losses only, at a market rate of interest based on the cost of Government borrowings as established periodically by the Secretary of Agriculture. The combined total of annual production and major adjustment loans cannot exceed $500,000 during fiscal year 1982, (October 1, 1981 thru September 30 1982), regardless of the number of designated disasters, and such loans are prohibited after September 30, 1982 except that borrowers indebted for any EM loan on December 15, 1979, may receive subsequent EM annual production loans in the amount necessary to continue their normal farming operations without regard to the indebtedness ceiling set forth above. Emergency actual loss loans are made in counties (1) named by the Federal Emergency Management Agency as being eligible for Federal assistance under a major disaster or emergency declaration by the President, or (2) in counties designated by the Secretary of Agriculture or (3) when authorized by an FmHA State Director where production and/or physical losses can be readily determined provided 25 or fever farmers are substantially affected.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Requires an applicant to: (a) be an established farmer, rancher, or aquaculture operator (either tenant-operator or owner-operator), who was conducting a farming operation at the time of occurrence of the disaster as an individual proprietorship, or as a partnership, cooperative or a corporation primarily engaged in farming; have suffered substantial crop loss or property damage caused by a designated natural disaster, compensation by insurance or otherwise is considered in determining qualifying actual losses and total amount of actual loss loan entitlement, (b) be a citizen of the United States, if an individual; or operated by citizens owning over a 50 percent interest if an entity (c) be unable to obtain necessary credit from other sources to qualify for subsidized loss loans and annual production and/or major adjustment loans (applicants who are able to able to obtain their needed credit elsewhere may qualify for a nonsubsidized loss loan only up to $500,000), (d) be of good character (emphasizing debt repayment ability and reliability) and with necessary ability to succeed, (e) be a capable manager of the farming, ranching, or aquaculture operations (in the case of a cooperative, corporation or partnership, at least one principal member, principal stockholder, or principal partner must manage the farming operation), (f) have sustained qualifying losses, (g) have legal capacity to contract for the loan, (h) obtain county committee eligibility certification, and (i) provide suitable security to support the loan request. Applicants who cannot meet all of these requirements are not eligible. Assistance is available in the 50 States, Puerto Rico, the Virgin Islands, Guam, American Samoa and the Northern Mariana Islands, when those areas (by county) are designated.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must establish that substantial physical property damage or severe production losses, caused by the designated natural disaster, has occurred. To qualify for subsidized loss loans and annual production and/or major adjustment loans the applicant must be unable to get credit elsewhere. If the loan(s) requested is for more than $300,000, the applicant is required to apply at not less than three conventional lending sources including Production Credit Asociation or Federal Land Bank, as appropriate, in the local community. Applicants whose total EM loan(s) request is for not more than $300,000 are normally required to apply to at least one conventional lending source, unless such requirement is unduly burdensome for the applicant. Form FmHA 1940-38 must be completed by all lending sources contacted.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application Form FHA 410-1 provided by the Farmers Home Administration must be presented to the FmHA county office serving the applicant's county. FmHA personnel assist applicants in completing their application form. FmHA Form 449-6, "Application for Guaranteed Loan" is filed by lenders.

**Award Procedure:** FmHA County Supervisors, District and State Directors, and the Administrator are authorized to approve these loans, subject to certain administrative requirements, after applicants are determined eligible by county committees.

**Deadlines:** Deadline for filing applications for initial actual loss loans is 9 months from the date of designation for both physical and production losses. Applicants should consult the FmHA county office serving their area for application deadlines.

**Range of Approval/Disapproval Time:** Approximately 4 to 6 weeks after receipt of a completed application.

**Appeals:** Applicant request reconsideration by county committee and loan approval officials. An applicant may also appeal under the Agency's administrative appeal regulations to the FmHA State Director and up to the Administrator for review of rejection of an application for EM loan assistance.

**Renewals:** Rescheduling, Reamortization, Consolidation and Deferrement: Possible 7 year rescheduling for short and intermediate term loans based on production or chattel losses. Rescheduling of loan terms may exceed seven years under certain circumstances. Long term loans may be reamortized. However, the maximum statutory repayment period of 20 years for production purposes and 40 years for real-estate purposes can not be exceeded. Loans made for similar purposes can be consolidated and rescheduled or reamortized. Repayment of loans made for any purpose may also be deferred for up to 3 annual installments when necessary to enable borrowers to rehabilitate their farming operation(s).

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** This varies in accordance with needs in individual cases, type of disaster losses, type of security available, and borrower's repayment ability. Applicants should consult the FmHA county office serving their area for specific information.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Borrowers are required to account for all security property.

**Audits:** This varies in individual cases.

**Records:** Applicant furnishes 5 year history of farm production, if available, when production losses are claimed. Otherwise, county production averages, ASCS records of acres grown and proven yields, or combinations of the above records when approved, are used. Borrowers are expected to keep sufficient and adequate records for tax purposes and management decision making. Specific financial information is required to be maintained for 3 years for some borrowers as a condition of receiving loan assistance.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans-Insured) FY 81 $5,112,290; FY 82 est $1,600,000,000; and FY 83 est $1,540,000.

**Range and Average of Financial Assistance:** $500 to $6,400,000; $36,782 average size for FY 81, $53,000 average size FY 82 thru February 17, 1982.

**PROGRAM ACCOMPLISHMENTS:** There were 5,456 applications on hand at the beginning of FY 1980. There were 59,239 applications received during FY 1980; 9,906 applications were on hand at the end of fiscal year 1980; 38,662 applications had been rejected or withdrawn during fiscal year 1980; and 16,127 applications were approved during FY 1980 resulting in 54,394 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** (1) Farmers Home Administration Fact Sheet - "Disaster Emergency Loans," and (2) USDA Pamphlet - "This is FHA" (PA-973). Administrative regulations are published in the Federal Register at 7 CFR Chapter XVIII, Part 1945, Subparts A, B, and D.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC Telephone: (202) 382-1632 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.054, Emergency Conservation Program; 10.066, Emergency Feed Program; 10.428, Economic Emergency Loans; 10.450, Crop Insurance; 59.002, Economic Injury Disaster Loans; 59.008, Physical Disaster Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.405 FARM LABOR HOUSING LOANS AND GRANTS

### (Labor Housing)

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Housing Act of 1949 as amended; Sections 514 and 516; Public Laws 89-117 and 89-754; 42 U.S.C 1484 and 1486.

**OBJECTIVES:** To provide decent, safe and sanitary low-rent housing and related facilities for domestic farm laborers.

**TYPES OF ASSISTANCE:** Project Grants; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** The loans and grants may be used for: construction, repair, or purchase of housing; acquiring the necessary land and making improvements on the land for the housing; and developing related facilities including recreation areas, central cooking and dining facilities, small infirmaries, laundry facilities, fallout shelters, and other essential equipment and facilities. Also funds may be used to pay certain fees and interest incidental to the project. Restrictions on the use of funds are that: the housing must be of practical type and must be constructed in an economical manner and not of elaborate or extravagant design or material; loan and grant funds and any funds furnished by the applicant may be placed in a supervised bank account. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding office for further information on statutory or other restrictions involved. Housing financed with labor housing or grant funds will be occupied by domestic farm laborers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Loans are available to farmers and associations of farmers. States, Puerto Rico, the U.S. Virgin Islands, political subdivisions of States, broad-based nonprofit organizations, and nonprofit corporations of farm workers may qualify for both loans and grants. Grants are available to public bodies only when there is a pressing need and when it is doubtful that such facilities could be provided unless grant assistance is available.

**Beneficiary Eligibility:** Domestic farm laborers. A domestic farm laborer is a person who receives a substantial portion of his income as a laborer on a farm in the United States, Puerto Rico, the U.S. Virgin Islands, and either (1) is a citizen of the United States, or (2) resides in the United States, Puerto Rico, or the Virgin Islands, after being legally admitted for permanent residence, and may include the immediate families of such person.

**Credentials/Documentation:** The applicant must furnish factual evidence of the following: (a) the number of domestic farm laborers currently being used in the area, (b) the kind of labor performed, (c) the future need for domestic farm labor in the area, (d) the kind, condition, and adequacy of housing presently used for such labor, (e) ownership of presently occupied housing, (f) ability of workers to pay necessary rent, and (g) with the exception of State and local public agencies, be unable to provide housing from it's own resources or credit on terms and conditions that would enable the applicant to provide labor housing. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised) when loans are to build 25 or more units in the same project. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment and environmental impact statement are required for this program.

**Application Procedure:** Preapplication will be made on Form AD-621, "Preapplication for Federal Assistance", and submitted to the District Office of the Farmers Home Administration fully documenting the need for the loan or grant and the proposed amount needed. Attachments relating to the size of the proposed project, estimated cost, budget and need are also required. This program is subject to the provisions of OMB Circulars No. A-110 and A-122.

**Award Procedure:** After the preapplication has been reviewed by the District Director, he will inspect the site and consider its desirability if it appears that the applicant is eligible. The preapplication , including any additional material, will be forwarded to the State Director who will determine the amount of assistance after first determining if all other sources of funding have been explored. Prior review and concurrence by the National Office is required for certain applications. Following approval, and loan closing payment authorization is forwarded to the National Finance Office which issues the check. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Announced Annually.

**Range of Approval/Disapproval Time:** 60 to 90 days from the time discussion begins.

**Appeals:** A uniform procedure whereby a person or organization who is directly and adversely affected by an administrative decision by FmHA is found in 7 CFR Subpart B of Part 1900, "Farmers Home Administrative Appeal Procedures".

**Renewals:** Not applicable, although subsequent financing can be made available.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** In case of a grant, 10 percent or more of the total development cost must be obtained from other sources. This may include funds made available through the power to levy taxes, assessments or charges or from other credit sources including an FmHA labor housing loan under Section 514.

**Length and Time Phasing of Assistance:** Loans are usually made for 33 years or useful life of security, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly progress reports are to be made to the FmHA District Office during the first year of operation or until requirement is waived by FmHA.

**Audits:** Required annually. Conducted by certified public accountant selected by the borrower.

**Records:** Adequate operating records must be maintained by borrower.

**FINANCIAL INFORMATION:**

**Account Identification:** (Grants) 12-2004-0-1-604; (Loans) 12-4141-0-3-371.

**Obligations:** (Loans) FY 81 $18,548,000; FY 82 est $25,600,000; and FY 83 est $19,000,000. (Grants) FY 81 $10,518,000; FY 82 est $22,000,000; and FY 83 est $23,228,000.

**Range and Average of Financial Assistance:** Initial Grants $16,650 to $3,000,000; $896,790. Initial Loans to Individuals $3,000 to $80,000; $33,500. Initial Loans to organizations $51,090 to $2,250,000; $550,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 250 loans and 23 grants were made. It is estimated that 320 loans and 44 grants will be made during fiscal year 1982. Loans and grants are used to build, buy improve or repair farm labor housing and related facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Subpart D of Part 1944, Chapter XVIII; FmHA Instruction 1944-D, "Farm Labor Housing Loan and Grant Policies, Procedures and Authorization"; (PA-521) (no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA District Office number. If no listing, contact appropriate FmHA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Multiple Family Housing Loan Division, Farmers Home Administration, Department of Agriculture, Washington, DC 20250; Telephone: (202) 382-1604 (Use same 7 digit number for FTS). Telephone: (202) 447-7967 (Use same 7 digit number for FTS).

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans; 10.415, Rural Rental Housing Loans; 10.427, Rural Rental Assistance Payments; 14.103, Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families.

**EXAMPLES OF FUNDED PROJECTS:** An example of a funded project is the Milton Freewater Orchard Home, Umatilla County, Oregon.

**CRITERIA FOR SELECTING PROPOSALS:** A clearly defined need must exist to provide housing for domestic farm workers.

## 10.406 FARM OPERATING LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Title I of the Rural Development Act, Public Law 92-419; 7 U.S.C. 1942; Title III of the Agriculture Act of 1961, Public Law 87-128.

**OBJECTIVES:** To enable operators of not larger than family farms through the extension of credit and supervisory assistance, to make efficient use of their land, labor, and other resources.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loan funds may be used to: (1) purchase livestock, poultry, fur bearing and other farm animals, fish, and bees; (2) purchase farm, forestry, recreation, or nonfarm enterprise equipment; (3) provide operating expenses for farm, forestry, recreation, or nonfarm enterprise; (4) meet family subsistence needs and purchase essential home equipment; (5) make minor real estate improvements; (6) refinance secured and unsecured debts; (7) pay property taxes; (8) pay insurance premiums on real estate and personal property; (9) finance youth projects; and (10) support other miscellaneous purposes. Use restrictions are shown under Applicant Eligibility.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individual applicants must: 1) Have farm experience or training and possess the character, industry and managerial ability to carry out the operation; 2) Possess the legal capacity to incur the obligations of the loan; 3) Be unable to obtain sufficient credit elsewhere at reasonable rates and terms; 4) Have ability to repay the loan; 5) Be a citizen of the United States; 6) After the loan is closed, be an owner or tenant operating a family farm; 7) Need to rely on farm income and any other income to provide a level of living comparable to that considered reasonably adequate for the area; and, 8) Honestly try to carry out the terms and conditions of the loan. Certain corporations, cooperatives and partnerships (or "entities") operating family-sized farms are now eligible for farm operating loans. In brief, a partnership, corporation or cooperative (entity) must meet some of the same eligibility requirements as individual applicants. In addition, if members, stockholders or shareholders of the entity are related by blood or marriage, at least one stockholder, shareholder or partner must operate the family-sized farm. The entity must be authorized to operate a farm in the State in which it is located. In the case of an entity when members are not related by blood or marriage, the majority interest holders in the entity must actually operate the family-sized farm to be eligible. The entity must be authorized to operate a farm in the State in which it is located. Limited resource applicants must meet the above requirements. In addition, they must have a low income and show a need for increased farm income. In the case of limited resource partnerships, cooperatives, or corporations, all the partners, members, or stockholders must be citizens and the entity must be the owner-operator of the family farm with at least one partner, member or stockholder operating the farm. Assistance is authorized for eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must establish that credit is not available elsewhere for the requested purposes.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required. However, an informal conference with the local county office staff is recommended.

**Application Procedure:** Applicant files Form FmHA 410-1, Application for FmHA Services, at the local county office of the Farmers Home Administration and Form FmHA 449-6, Application for Guaranteed Loan is filed with the lender.

**Award Procedure:** Certification as to eligibility is made by a local county or area committee of three persons.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Applications are considered by the county committee within 30 days from date of completed application.

**Appeals:** Request for reconsideration is granted by county supervisor. Applicant may meet with county committee to present facts concerning the situation, needs, and potential. Applicant may also ask the FmHA State Director, Appropriate Program Assistant Administrator, and Administrator to review handling of the application.

**Renewals:** Applicants may reapply at any time.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation are: 1. the number of farms by state and the source is "Census of Agriculture," Bureau of the Census; 2. the farm population by State and the source is "Farm Population Estimates 1910-1970, "Rural Development Services; 3. the net farm income by State and the source is "Farm Income Statistics; "4. The farm tennancy (number of farm tennants) by State and the source is "Census of Agriculture; "and 5. the historic obligations by State. Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Loans are scheduled for repayment over periods up to 7 years and when justified, loans may be consolidated or rescheduled for 7 years. Installments may also be deferred up to 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Records on production, income, expenses during the period of the loan.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $847,603,360; FY 82 est $1,375,000,000; and FY 83 est $1,510,000,000.

**Range and Average of Financial Assistance:** Insured loans up to $100,000; guaranteed loans up to $200,000; Insured averaged $27,889 and the guaranteed averaged $73,068 for FY 1981.

**PROGRAM ACCOMPLISHMENTS:** There were 29,838 loans made in fiscal year 1981. It is estimated that 43,820 loans will be made in fiscal year 1982, and 43,700 loans will be made in fiscal year 1983. Farm operating loans provide credit to (1) establish beginning farmers, (2) assist farmers suffering from the price/cost squeeze, which will enable them to remain on the farm and (3) expand farming operations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Farm Operating Loans," PA-1002; "Nonfarm Enterprises," PA-1010; "This Is FmHA," PA-973; "Youth Project Loans," PA-1059; "Loans to Limited-Resource Farmers", PA-1250.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, contact the appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Farm Real Estate and Production Division, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-4572 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.407, Farm Ownership Loans; 15.124, Indian Loans—Economic Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.407 FARM OWNERSHIP LOANS

**FEDERAL AGENCY: FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE**

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Section 302, 7 U.S.C. 1922; P.L. 87-128, P.L. 91-620, P.L. 95-334, and P.L. 97-98, Section 303, 7 U.S.C. 1923; P.L. 87-128, P.L. 87-708, P.L. 90-488, P.L. 95-113, P.L. 96-438, and P.L. 97-98; Section 305, 7 U.S.C. 1925, P.L. 95-334, P.L. 92-419, and P.L. 87-128; Section 307, 7 U.S.C. 1927, P.L. 87-128, P.L. 92-419, P.L. 95-334, and P.L. 97-35; Section 308, 7 U.S.C. 1928; P.L. 87-128, P.L. 87-798, P.L. 89-240, P.L. 90-488, and 92-133; Section 310d, 7 U.S.C. 1934; P.L. 87-128 and P.L. 95-334.

**OBJECTIVES:** To assist eligible farmers and ranchers, including farming cooperatives, partnerships and corporations through the extension of credit and supervisory assistance, to become owner-operators of not larger than family farms; to make efficient use of the land, labor, and other resources; to carry on sound and successful operations on the farm, and afford the family, cooperative, partnership or corporation an opportunity to have a reasonable standard of living.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** (1) Enlarge, improve, and buy family farms; (2) refinance debts so as to place the farming operation on a sound basis; (3) provide necessary water and water facilities; (4) provide basic soil treatment and land conservation measures; (5) construct, repair, and improve buildings needed in the operation of a family farm; (6) construct or repair farmhouses; (7) improve, establish, or buy a farm-forest enterprise; (8) provide facilities to produce fish under controlled conditions; (9) finance nonfarm enterprises, including recreation on part of the farm; (10) buy and develop land to be used for forestry purposes; (11) develop energy conserving measures; (12) finance pollution abatement and control facilities. Use restrictions are shown under Applicant Eligibility.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An applicant must: (1) be unable to obtain adequate credit from other sources at reasonable terms; (2) be a U. S. citizen and possess the legal capacity to incur the obligations of the loan; (3) be of good character as related solely to debt repayment ability and reliability, managerial ability and industry; (4) have the necessary experience, training, and managerial ability to operate a family farm or a nonfarm enterprise; (5) agree to refinance the balance due on the loan as soon as the borrower is able to obtain adequate credit at reasonable terms from another lender; (6) if an individual, the applicant must not have a combined farm ownership loan, soil and water loan, and recreation loan indebtedness to FmHA of more than $200,000 for insured loans and $300,000 for guaranteed loans or a total indebtedness against the property securing the loan of more than the market value of the security, whichever is the lesser amount. If a cooperative, partnership or corporation, the entity must be controlled by farmers or ranchers engaged primarily and directly in farming in the U.S. after the loan is made and must consist of members, stockholders, or partners who do not as individuals have an FO, SW, RL, or OL loan and are not members of another entity that has an FO, SW, RL or OL loan. Assistance is authorized for eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants must establish that credit is not available elsewhere for the requested purpose.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant files Form FmHA 410-1, Application for FmHA Services, at the local county office of the Farmers Home Administration and Form FmHA 449-6, Application for Guaranteed Loan is filed with the lender.

**Award Procedure:** Certification as to eligibility is made by a local county committee of three persons; determination is made by FmHA official of loan soundness and adequate security.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Applications are considered by the county committee within 30 days from date of application.

**Appeals:** Applicants for insured loans may request reconsideration and meet with the county committee to present facts concerning their needs and potential. If the applicant is not satisfied with the committee's action and the county supervisor's explanation, the applicant is given an opportunity to appeal the decision to the next higher level of the FmHA decision making process. The applicant may, in the final step of the appeals process, appeal to the Administrator of the Farmers Home Administration, Washington, DC.

**Renewals:** Applicants may reapply at any time.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Loans are scheduled for repayment over periods up to 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $813,285,110; FY 82 est $825,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $16,000 to $200,000; $73,680.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 30,664 applications received with 18,275 applications on hand. There were 11,853 loans obligated in fiscal year 1981. It is estimated that 11,000 loans will be made in fiscal year 1982. Loans are used to purchase, enlarge, and improve family farms, and refinance debts.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR, Part 1943, Subpart A and Part 1980, Subpart B. PA-62, Farmers Home Administration, Department of Agriculture.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.406, Farm Operating Loans; 15.124, Indian Loans—Economic Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.408 GRAZING ASSOCIATION LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Section 306; Public Law 92-419 and Public Law 87-128; 7 U.S.C. 1926.

**OBJECTIVES:** To increase the income of farm families and those who reside in rural areas and to readjust the use of land so that each acre is used for a purpose which will better serve the community.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loans may be made to associations of family farmers and ranchers to acquire and develop grazing land to provide seasonal grazing for livestock belonging to association members. Assistance is limited to farmers and ranchers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Nonprofit associations owned, operated, and managed by memberships consisting of neighboring farmers and ranchers, who need to increase their incomes, are eligible providing the association: (1) is unable to obtain needed credit elsewhere at reasonable rates and terms and (2) has the legal authority to borrow and repay money, to pledge security for loans, and to operate the facilities or services installed with the loan. Assistance is authorized for eligible applicants in States, Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa and the Northern Mariana Islands.

**Beneficiary Eligibility:** Must be a farmer or rancher, a partnership, cooperative or corporation. If a partnership, cooperative, or corporation, the entity must be controlled by individuals engaged primarily in farming.

**Credentials/Documentation:** Applicants must submit the documents necessary to meet the eligibility requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Preapplication Form AD-621 is submitted to county FmHA office.

**Award Procedure:** After application has been approved by the county supervisor and the county committee, it is given final approval (depending on the size of the application) by the county supervisor, District Director or the State Director. Following approval, payment authorization is forwarded to the National Finance Office which issues the check. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may reapply at any time that the reasons for rejection are corrected. If the applicant is not satisfied with the committee's action and county supervisor's explanation the applicant is given an opportunity to appeal the decision to the next higher level of the FmHA decision making process. The applicant may, in the final step of the appeals process, appeal to the Administrator of the Farmers Home Administration, Washington, DC.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The loan assistance may equal the project cost if the applicant is financially unable to contribute a part of the cost.

**Length and Time Phasing of Assistance:** Loans may be scheduled over a period of 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** During the first year of operation, monthly progress reports are to be made to the FmHA County Supervisor. Sometime after the first 4 months but before the end of the 9th month of operation, the FmHA District Director will review and make a report on the operation of the facilities.

**Audits:** Annual audits are required after the system goes into operation.

**Records:** Records and accounts are required to reflect the operations of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $0; and FY 82 est $4,800,000; and FY 83 Not available.

**Range and Average of Financial Assistance:** $130,000 to $2,500,000; $480,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, applications received 6, on hand 2. There were 3 loans obligated in fiscal year 1980 and none in fiscal year 1981. It is estimated that 8 loans will be made in 1982. Loans are made to shift land use, improve livestock and develop wildlife facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Farmers Home Administration, PA-773, no charge; 7 C.F.R Part 1823, Subpart B.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State Office listed in Appendix IV.

**Headquarters Office:** Assistant Administrator, Farmer Programs, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1468 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.350, Technical Assistance to Cooperatives; 10.414, Resource Conservation and Development Loans; 10.902, Soil and Water Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.409 IRRIGATION, DRAINAGE, AND OTHER SOIL AND WATER CONSERVATION LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Section 306; Public Law 92-419; 7 U.S.C. 1926; Public Law 95-334 and Public Law 87-128.

**OBJECTIVES:** To increase the income of farm families and other rural residents and to readjust the use of land so that each acre is used for a purpose which will better serve the community.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loans may be made to eligible applicants for irrigation, drainage, or other soil conservation measures. The services or facilities must primarily serve farmers and rural residents.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or quasi-public bodies and corporations not operated for profit which will serve residents of open country and rural towns and villages up to 10,000 population may receive assistance when: (1) they are unable to obtain needed funds from other sources at reasonable rates and terms; (2) the proposed improvements will primarily serve farmers and other rural residents; and (3) they have legal capability to borrow, repay, and pledge security for the loan and to operate the facilities or services. Assistance is authorized for eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Facilities must primarily serve farmers and rural residents.

**Credentials/Documentation:** Applicant must submit the documents necessary to meet the eligibility requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All project proposals are reviewed by applicable State, metropolitan, and local units of government before an application is filed. Up to 60 days is allowed for the review. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment and environmental impact statement are required for this program.

**Application Procedure:** Preapplication Form AD-621 will be submitted to county FMHA office.

**Award Procedure:** After application has been recommended by the county supervisor and the county committee, the State Director has final approval authority on loans up to $1,000,000. Loans in excess of that amount require National Office concurrence prior to State Director's approval. Following approval, payment authorization is forwarded to National Finance Office which issues the check. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may reapply at any time that the reasons for rejection are corrected. If the applicant is not satisfied with the committee's action and the county supervisor's explanation the applicant is given an opportunity to appeal the decision to the next higher level of the FmHA decision making process. The applicant may, in the final step of the appeals process, appeal to the Administrator of the Farmers Home Administration, Washington, DC.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The loan assistance may equal the project cost if the applicant is financially unable to contribute a part of the cost.

**Length and Time Phasing of Assistance:** Loans may be scheduled over a period of 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** During the first years of operation, annual progress reports are to be made to the FmHA County Supervisor. Sometime after the first 4 months, but before the end of the 9th month of operation, the FmHA District Director will review and make a report on the operation of the facilities.

**Audits:** Annual audits are required for borrowers whose projected gross annual income exceeds $25,000 and others as required by State FmHA Director.

**Records:** Records and accounts are required to reflect the operations of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $296,500; and FY 82 est $7,400,000; and FY 83 Not available.

**Range and Average of Financial Assistance:** $20,000 to $300,000; $96,760.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, applications received 20, on hand 12. There were 6 loans obligated in fiscal year 1980 and also in 1981. It is estimated that 134 loans will be made in 1982. Loans are used to install drainage and irrigation facilities and build terraces.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Farmers Home Administration, PA-705-no charge, 7 C.F.R. Part 1823, Subpart H.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Assistant Administrator, Farmer Program, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1468 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.414, Resource Conservation and Development Loans; 10.416, Soil and Water Loans; 10.419, Watershed Protection and Flood Prevention Loans; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 15.501, Irrigation Distribution System Loans; 15.502, Irrigation Systems Rehabilitation and Betterment; 15.503, Small Reclamation Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.410 LOW TO MODERATE INCOME HOUSING LOANS

### (Section 502 Rural Housing Loans)

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Title V of the Housing Act of 1949, Section 502, as amended, 42 U.S.C. 1471, et seq; Public Law 89-117; Public Law 92-310; 42 U.S.C. 1480; and 42 U.S.C. 1472.

**OBJECTIVES:** To assist rural families to obtain decent, safe, and sanitary dwellings and related facilities.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** The loans may be used: for construction, repair or purchase of housing; to provide necessary and adequate sewage disposal facilities; for water supply for the applicant and his family; for weatherization; to purchase or install essential equipment which upon installation becomes part of the real estate; and to buy a site on which to place a dwelling for applicant's own use. Housing debts may under certain circumstances be refinanced. Restrictions on the use of the loans are that: a dwelling financed for a family with a low or moderate income must be modest in size, design and cost; an applicant must be without adequate housing or without sufficient resources to provide on his own account the necessary housing, or related facilities; be unable to secure the necessary credit from other sources upon terms and conditions which he reasonably could be expected to fulfill; and, the housing must be located in a place which is rural in character and does not exceed 10,000 population or in a place whose population exceeds 10,000 but is not in excess of 20,000, provided the place is not in a Standard Metropolitan Statistical Area and has a serious lack of mortgage credit for low- and moderate-income families as determined by the Secretary of Agriculture and the Secretary of Housing and Urban Development.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Be an owner or when the loan is closed, become the owner of a dwelling and the site on which it is located, in a rural area. Be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Have adequate and dependable available income to meet operating and family living expenses, including taxes, insurance and maintenance, and repayments on debts including the proposed loan. Interest credits may, under certain conditions, be granted to lower income families which will reduce the effective interest rate paid to as low as one percent, depending on the size of the loan and the size and income of the applicant family. Assistance is available in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Marianas, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** May need to submit evidence of inability to obtain credit elsewhere, verification of income and debts, plans, specifications, and cost estimates.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised) when loans are for 10 or more units in the same subdivision.

**Application Procedure:** Must file an application Form FmHA 410-4 for nonfarm tracts or Form FmHA 410-1 for farms and loan applicants who derive a major portion of their income from farming and Preapplication Form AD-621 for 10 or more units in the same subdivision, with the county office of the Farmers Home Administration serving the county where the dwelling is or will be located.

**Award Procedure:** Delegated to county supervisor.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days from time application is filed if no backlog of applications exists.

**Appeals:** Applicant may request reconsideration at the local county office or may appeal adverse actions on his or her loan application to the District, State or National Office in accordance with FmHA appeal procedure. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan applicant.

**Renewals:** Applicants may reapply at any time.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements. This program has no statutory formula. The following formula is used to allocate program funds to various States: (Ax.30Bx.30Cx.30Dx.10) x E x F x funds available = States allocation. "A" is State's percentage of national rural population; "B" is State's percentage of national rural population living in dwellings which lack complete plumbing and/or are crowded; "C" is State's percentage of national rural population below the low-income limit; "D" is a historical factor--State's percentage of outstanding Section 502 RH loans. "E" is a housing cost adjustment--the State's average loan amount for a new dwelling divided by the national average loan amount for a new dwelling; and "F" is a delinquency adjustment--the State's total delinquency 3 months and over as compared to the national delinquency. The statistical factors used for fund allocation are: 1. State percentage of national rural population and the source is the "1980 Census" 2. State percentage of national rural population living in dwellings which lack plumbing and/or are crowded (substandard) and the source is "Rural Housing Survey - 1977" 3. State percentage of national rural population below the low-income limit and the source is FmHA 1981 data for justification for low income; 4. Historical usage of funds is FmHA June 1981 "Monthly Payment Delinquency Report"; 5. Housing cost adjustment is FmHA 1981 - 617 Report," Direct and Insured RH Loans Use of Funds"; and, 6. Delinquency adjustment is FmHA September 1981 "Monthly Payment Delinquency Report." The statistical factor used for eligibility is: 1. Population of sub-county area must be less than 20,000 and the source is "1980 Census."

**Length and Time Phasing of Assistance:** Refinancing is required when the borrower has obtained adequate resources to finance on his own account the necessary housing or is able to secure the necessary credit from other sources on terms and conditions which he can reasonably be expected to fulfill.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** As requested.

**Records:** Kept for outstanding loans. Records retired in accordance with pertinent FmHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4141-0-3-371.

**Obligations:** (Loans) FY 81 $2,583,605,744; FY 82 est $2,730,000,000; and FY 83 est $900,000,000.

**Range and Average of Financial Assistance:** $1,000 to $60,000; $29,615.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 87,241 loans were made. It is estimated that 86,188 loans will be made during fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 1822.1-1822.18; Home Ownership, PA-977, no charge; FmHA Instruction 1944-A. "Section 502 Rural Housing Loan Policies, Procedures and Authorizations," (approximate cost $5.70).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number, If no listing, contact appropriate Farmers Home Administration State Office listed in the Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.405, Farm Labor Housing Loans and Grants; 10.411, Rural Housing Site Loans; 10.417, Very Low-Income Housing Repair Loans and Grants; 10.420, Rural Self-Help Housing Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.411 RURAL HOUSING SITE LOANS

### (Section 523 and 524 Site Loans)

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Housing Act of 1949 as amended, Section 523 and 524; Public Law 89-117 and Public Law 89-754; 42 U.S.C. 1490c and U.S.C. 1490d.

**OBJECTIVES:** To assist public or private nonprofit organizations interested in providing sites for housing, to acquire and develop land in rural areas to be subdivided as adequate building sites and sold on a nonprofit basis to families eligible for low- and moderate-income loans; cooperatives, and broadly based nonprofit rural rental housing applicants.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** For the purchase and development of adequate sites, including necessary equipment which becomes a permanent part of the development; for water and sewer facilities if not available; payment of necessary engineering, legal fees, and closing costs; for needed landscaping and other necessary facilities related to buildings such as walks, parking areas, and driveways. Restrictions: loan limitation of $100,000 without national office approval; loan funds may not be used for refinancing of debts, payment of any fee, or commission to any broker, negotiator, or other person for the referral of a prospective applicant or solicitation of a loan; no loan funds will be used to pay operating costs or expenses of administration other than actual cash cost of incidental administrative expenses if funds to pay those expenses are not otherwise available. Repayment of loan is expected within 2 years.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A private or public nonprofit organization that will provide the developed sites to qualified borrowers on a nonprofit basis in open country and towns of 10,000 population or less and places up to 20,000 population under certain conditions. Applicants from towns of 10,000 to 20,000 population should check with local FmHA office to determine if agency can serve them. Assistance is available to eligible applicants in states, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Marianas, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Sites developed with Section 524 loans must be for housing low- and moderate-income families and may be sold to families, nonprofit organizations, public agencies and cooperatives eligible for assistance under any Section of Title V of the Housing Act of 1949, or under any other law which provides financial assistance. Sites developed with Section 523 loans must be for housing to be built by the self-help method.

**Credentials/Documentation:** Applicant must furnish evidence of the following (1) market analysis showing need for such services; (2) legal capacity to borrow funds and develop land for sale; (3) a sound budget; and (4) general project description.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised) when loans are for developing 10 or more sites for individual dwellings or 25 or more multiple-family units. Environmental impact assessment and environmental impact statements are required for this program.

**Application Procedure:** The application will be in the form of a letter to the District Office of the Farmers Home Administration. Supporting information and costs should be included as needed.

**Award Procedure:** After application has been reviewed by the District Office, it is given final approval by the State Director. Following approval, payment authorization is forwarded to the National Finance Office which issues the check. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** A uniform procedure whereby an organization which is directly or adversely affected by an administrative decision by FmHA is found in 7 CFR Subpart B of part 1900 "Farmers Home Administration Appeal Procedure." Applicant may request reconsideration on the basis of pertinent facts concerning his application.

**Renewals:** Applicants may reapply at any time provided there is evidence of need for the proposed building sites in the locality.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly progress reports are to be made to the FmHA District Office during the first year of operation or until requirement is waived by FmHA.

**Audits:** Required annually.

**Records:** Adequate operating records must be maintained by borrower.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4222-0-3-371; 12-4141-0-3-371.

**Obligations:** (Direct loans) Section 523, FY 81 $475,000; FY 82 est $2,000,000; and FY 83 est $2,000,000. (Insured loans) Section 524, FY 81 $454,000; FY 82 est $5,000,000; and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** (Direct) $117,175. (Insured) $45,200 to $571,000; $176,683.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 5 insured loans and 2 direct loans were made. In fiscal year 1982, it is estimated that 50 insured loans and 10 direct loans will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** FmHA Instruction 444.8, " Rural Housing Site Loan Policies, Procedures, and Authorizations"; 7 CFR 1822.261-1822.278; PA-1131.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA District Office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1604 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans; 10.415, Rural Rental Housing Loans; 10.420, Rural Self-Help Housing Technical Assistance; 14.125, Mortgage Insurance—Land Development and New Communities; 14.141, Nonprofit Sponsor Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.413 RECREATION FACILITY LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Subtitle A, Section 302, (7 U.S.C. 1922), P.L. 87-128, P.L. 91-620, P.L. 95-334, and P.L. 97-98; Section 303, (7 U.S.C. 1923), P.L. 87-128, P.L. 87-703, P.L. 90-488, P.L. 95-113, and P.L. 96-438; P.L. 87-128, P.L. 90-488, P.L. 92-419, and P.L. 95-334; Section 305, (7 U.S.C. 1925), P.L. 87-128, Section 304, 7 U.S.C. 1924, P.L. 91-620, P.L. 92-419, P.L. 93-86, and P.L. 95-334; Section 307, (7 U.S.C. 1927), P.L. 87-128, P.L. 92-419, P.L. 95-334, and P.L. 97-35; Section 308, (7 U.S.C. 1928), P.L. 87-128, P.L. 87-798, P.L. 89-240, P.L. 90-488, and 92-133.

**OBJECTIVES:** To assist eligible farm and ranch owners or tenants, including cooperatives, corporations or partnerships, through the extension of credit and supervisory assistance, to convert all or a portion of the farms they own or operate to income-producing outdoor recreational enterprises which will supplement or supplant farm or ranch income and permit carrying on sound and successful operations.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Funds may be used to: (1) develop land and water resources, (2) repair and construct buildings, (3) purchase land, equipment, livestock, and related recreation items, and (4) pay necessary operating expenses. Recreation enterprises that may be financed include: campgrounds, horseback riding stables, swimming facilities, tennis courts, shooting preserves, vacation cottages, lodges and rooms for visitors, lakes and ponds for boating and fishing, docks, nature trails, hunting facilities, and winter sports areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** At time of application for the loan an applicant must: (1) be unable to obtain adequate credit from other sources at reasonable terms; (2) be a U.S. citizen and possess the legal capacity to incur the obligations of the loan; (3) be of good character as related solely to debt repayment ability, reliability, managerial ability and industry; (4) be engaged in farming; (5) have enough experience or training to be successful in the proposed recreational enterprise; (6) for an insured loan agree to refinance the balance due on the loan as soon as the borrower is able to obtain adequate credit at reasonable terms from another lender; (7) have a combined recreation loan, soil and water loan, and farm ownership loan indebtedness to FmHA of not more than $200,000 for insured loans or $300,000 for guaranteed loans, or a total indebtedness against the property securing the loan of not more than its market value, whichever is the lesser amount. Assistance is authorized for eligible applicants including cooperatives, corporations and partnerships in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must establish that credit is not available elsewhere for the requested purpose.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None.

**Application Procedure:** Applicant files Form FmHA 410-1, Application for FmHA Services, at the local county office of the Farmers Home Administration and Form FmHA 449-6, Application for Guaranteed Loan is filed with lender.

**Award Procedure:** Certification as to eligibility is made by a local county committee of three persons; determination is made by FmHA official of loan soundness and adequate security.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Applications are considered by the county committee within 30 days from date of application.

**Appeals:** Applicants for insured loans may request reconsideration and meet with the county committee to present facts concerning their needs and potential. If the applicant is not satisfied with the committee's action and the county supervisor's explanation, the applicant is given an opportunity to appeal the decision to the next higher level of the FmHA decision making process. The applicant may, in the final step of the appeals process, appeal to the Administrator of the Farmers Home Administration, Washington, DC.

**Renewals:** Applicants may reapply at any time.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Loans are scheduled for repayment over periods up to 40 years.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

FINANCIAL INFORMATION:

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $1,830,360; FY 82 est $2,400,000. FY 83 est not.

**Range and Average of Financial Assistance:** $4,000 to $268,000; $113,800.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1981, there were 43 applications received, 17 on hand. There were 26 loans obligated in fiscal year 1980 and 22 in fiscal year 1981. It is estimated that 26 loans will be made in FY 1982. Loans are used to buy land, water resources, and recreation equipment.

REGULATIONS, GUIDELINES, AND LITERATURE: PA-1014, Farmers Home Administration, Department of Agriculture; 7 CFR Part 1943 Subpart C.

INFORMATION CONTACTS:

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967 (Use same 7-digit number for FTS).

RELATED PROGRAMS: 10.414, Resource Conservation and Development Loans; 10.500, Cooperative Extension Service; 15.917, Recreation—Technical Assistance.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 10.414 RESOURCE CONSERVATION AND DEVELOPMENT LOANS

FEDERAL AGENCY: FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

AUTHORIZATION: Food and Agriculture Act of 1962; Public Law 87-703; 7 U.S.C. 1011 (Supp. V) 1959-63; 7 U.S.C. 1010.

OBJECTIVES: To provide loan assistance to local sponsoring agencies in authorized areas where acceleration of program of resource conservation, development, and utilization will increase economic opportunities for local people.

TYPES OF ASSISTANCE: Guaranteed/Insured Loans.

USES AND USE RESTRICTIONS: Loan funds may be used for (1) rural community public outdoor-oriented water based recreational facilities; (2) soil and water development, conservation, control and use facilities; (3) shift-in-land use facilities; (4) community water storage facilities; and (5) special purpose equipment to carry out the above purposes. Project must be located in an authorized RC&D area. A loan for a single RC&D measure cannot exceed $500,000.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Public agencies and local nonprofit corporations in authorized Resource Conservation and Development Areas may be eligible for loan assistance provided they: (1) are a sponsor of the RC&D measure for which a loan is requested and which is included in the RC&D project plan; (2) have authority to borrow funds, repay the loan, and pledge security for the loan and to operate the facilities or services provided; and (3) are financially sound and so organized and managed that it will be able to provide efficient service. Assistance authorized for eligible applicants in approved RC&D areas in States Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of legal capacity, financial responsibility and economic feasibility relative to the activity for which assistance is requested.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An informal preapplication conference is recommended. An environmental impact assessment is required for this program.

**Application Procedure:** Preapplication Form AD-621 is filed at County or District FmHA Office from which assistance may be obtained.

**Award Procedure:** After the preapplication has been reviewed by the District Director, it is forwarded to the FmHA State Director for review and processing instructions. Following review by the State Director the applicant is notified about eligibility, availability of funds and if an application should be filed. Upon favorable review and approval of a complete application package, funds are made available to the District FmHA Director for delivery. Notification of the awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the next higher management level of FmHA.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** A time limitation is not specified for use of FmHA loan funds. Funds will be awarded when all FmHA requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by FmHA.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Periodic progress reports are to be made to the FmHA District Director.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:** Records and accounts are required to reflect the operations of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $1,965,300; FY 82 est $4,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $2,400 to $500,000; $140,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 14 loans were made. It is estimated that 25 loans will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Farmers Home Administration, PA-799 and PA-973, no charge. 7-CFR-1942 Subpart I.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county or District office number. If no listing, contact appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Community Facilities Division, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1490 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.408, Grazing Association Loans; 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.423, Community Facilities Loans; 10.500, Cooperative Extension Service; 10.901, Resource Conservation and Development; 10.902, Soil and Water Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.415 RURAL RENTAL HOUSING LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Housing Act of 1949 as amended, Sections 515 and 521; Public Law 89-117; 42 U.S.C. 1485, 1490a.

**OBJECTIVES:** To provide economically designed and constructed rental and cooperative housing and related facilities suited for independent living for rural residents.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loans can be used to construct, purchase, improve, or repair rental or cooperative housing. Housing as a general rule will consist of multi-units with two or more family units and any appropriately related facilities. Funds may also be used to provide recreational and service facilities appropriate for use in connection with the housing and to buy and improve the land on which the buildings are to be located. Loans may not be made for nursing, special care, or institutional-type homes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants may be individuals, cooperatives, nonprofit organizations, State or local public agencies or profit corporations trusts, partnership, limited partnerships, and with the exception of State or local public agencies be unable to finance the housing either with their own resources or with credit obtained from private sources. However, applicants must be able to assume the obligations of the loan, furnish adequate security, and have sufficient income for repayment. They must also have the ability and intention of maintaining and operating the housing for purposes for which the loan is made. Loans may be made in communities up to 10,000 people and places up to 20,000 population under certain conditions. Applicants in towns of 10,000 to 20,000 should check with local FmHA office to determine if agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Marianas, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Occupants must be low- to moderate-income families senior citizens or handicapped.

**Credentials/Documentation:** Applicant must furnish evidence of the following: (a) a comprehensive market analysis showing the need for such service; (b) a legal capacity to incur the obligation and operate the housing; (c) a sound budget; (d) inability to obtain necessary funds from other sources on terms and conditions that would enable the applicant to rent the units for amounts that are within payment ability of eligible low and moderate-income, senior citizen or handicapped occupants.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised) when loans are to build 25 or more units in the same project. An environmental impact assessment and when necessary an environmental impact statement are required for this program when projects exceed 50 units. If a combination of Section 8/515 is involved, 5 units instead of 50 will apply to conform with the memorandum of understanding with HUD.

**Application Procedure:** The application will be on Form AD-621 "Preapplication for Federal Assistance" which may be submitted to the FmHA county office where the housing will be located but should be submitted to the District Office having jurisdiction. Appropriate attachments such as preliminary market data, cost estimates, and financial statement and plans if available should be included.

**Award Procedure:** Award is made by State Director or National Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 to 200 days.

**Appeals:** Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:** Applicants may reapply at any time.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation are: 1. State percentage of FmHA rural population and the source is "1980 Census" updated with an overall factor of population growth, ESCS; 2. State percentage of housing units in rural areas lacking plumbing and/or overcrowded and the source is "1980 Census," Bureau of the Census; 3. State percentage of rural persons in poverty and the source is "1980 Census;" and 4. FmHA cost by housing by State per capita and the source is "FmHA (502 single family)" administrative records. Statistical factors used for eligibility are: 1. places of 10,000 population or less and the source is "1980 Census;" 2. places between 10,000 20,000 population not in SMSA's and the source is "1980 Census;" and 2. tennant eligibility: area median income and the source is "1980 Census."

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly progress reports are to be made to the FmHA District Director. During the first year of operation or until requirement is waived by FmHA.

**Audits:** Annual audits required from borrowers with 21 or more units in one or more projects.

**Records:** Good business records required.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4141-0-3-371.

**Obligations:** (Loans) FY 81 $864,765,230; and FY 82 est $940,000,000; and FY 83 est $200,000,000.

**Range and Average of Financial Assistance:** Initial insured loans to individuals, $50,000 to $401,667; $210,167. Initial insured loans to organizations, $54,900 to $2,000,000; $460,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, loans were made to provide housing for 33,100 families. In fiscal year 1982, loans will be made to provide housing for an estimated 26,500 families. In fiscal year 1983, loans will be made to provide housing for approximately 26,500 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:** FmHA Instruction 1944-E, "Rural Rental Housing Loan Policies Procedures, and Authorizations," and FmHA Instruction 444.7, "Rural Cooperative Housing Loan Policies Procedures, and Authorizations"; 7 CFR 1822.81-1822.98; 1822.231-1822.244; Rural Rental Housing, PA-1039, and Congregate Housing Financed by FmHA, PA-1252.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1604 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.405, Farm Labor Housing Loans and Grants; 10.411, Rural Housing Site Loans; 10.427, Rural Rental Assistance Payments.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.416 SOIL AND WATER LOANS

### (SW Loans)

**FEDERAL AGENCY: FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE**

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Subtitle A, Section 302 (7 U.S.C. 1922), P.L. 87-128, P.L. 91-620, P.L. 95-334, and P.L. 97-98; Section 303 (7 U.S.C. 1923), P.L. 87-128, P.L. 87-703, P.L. 90-488, P.L. 95-113, and P.L. 96-438; Section 304, (7 U.S.C. 1924), P.L. 87-128, P.L. 90-488, P.L. 92-419, and P.L. 95-334; Section 305, (7 U.S.C. 1925), P.L. 87-128, P.L. 91-620, P.L. 92-419, P.L. 93-86, and P.L. 95-334; Section 307, (7 U.S.C. 1927), P.L. 87-128, P.L. 92-419, P.L. 95-334, and P.L. 97-35; Section 308 (7 U.S.C. 1928), P.L. 87-128, P.L. 87-798, P.L. 89-240, P.L. 90-488, and P.L. 92-133.

**OBJECTIVES:** To facilitate improvement, protection, and proper use of farmland by providing adequate financing and supervisory assistance for soil conservation; water development, conservation and use; forestation; drainage of farmland; the establishment and improvement of permanent pasture; the development of pollution abatement and control facilities on farms; develop energy conserving measures and other related conservation measures.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Level land; carry out basic land treatment practices, including liming, fertilizing, and seeding; establish permanent pastures and farm forests; establish forestry practices; improve irrigation; develop water supplies for home use and livestock; develop energy conserving measures; purchase pumps, sprinkler systems and other irrigation equipment; acquire water rights; restore and repair ponds and tanks, ditches, and canals for irrigation; dig ditches and install tile to drain farmland; develop ponds and water control structures for the production of fish under controlled conditions; and carry out pollution control and abatement on farms.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Loans may be made to eligible farming partnerships, cooperatives, or domestic corporations, as well as individual farm owners or tenants. Applicant must: (1) be unable to obtain credit from other sources under reasonable terms and conditions; (2) be a citizen and possess the legal capacity to incur the obligations of the loan. If a partnership, cooperative or corporation, the entity must be controlled by individuals engaged primarily in farming; (3) be of good character as related solely to debt repayment ability, reliability, managerial ability and industry; (4) have the necessary experience, training and managerial ability to carry out the proposed operation; (5) have a combined soil and water loan, recreation loan, and farm ownership loan indebtness to FmHA of no more than $200,000 for insured loans and $300,000 for guaranteed loans or a total indebtedness against the property securing the loan of not more than the market value of the security, whichever is the lesser amount. Assistance is authorized for eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must establish that credit is not available elsewhere for the requested purpose.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant files Form FmHA 410-1, Application for FmHA Services, at the local county office of the Farmers Home Administration. Form FmHA 449-6, Application for Guaranteed Loan is filed with lender.

**Award Procedure:** Certification as to eligibility is made by a local county committee of three persons; determination is made by FmHA official of loan soundness and adequate security.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Applications are considered by the county committee within 30 days from date of application.

**Appeals:** Applicant for insured loans may request reconsideration and meet with the county committee to present facts concerning their needs and potential. If not satisfied with the committee's action and the county supervisor's explanation, the applicant is given an opportunity to appeal the decision to the next higher level of the FmHA decision making process. The applicant may, in the final step of the appeals process, appeal to the Administrator of the Farmers Home Administration, Washington, DC.

**Renewals:** Applicant may reapply at any time.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Loans are scheduled for repayment over periods up to 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $49,612,730; FY 82 est $47,100,000; and FY 83 Not available.

**Range and Average of Financial Assistance:** $3,300 to $100,000; $24,700.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 3,683 applications received, 1,361 on hand. There were 2,256 loans made in fiscal year 1981. It is estimated that 1,990 loans will be made in fiscal year 1982. Loans are used to drill wells, construct ponds, dig ditches and for irrigation equipment.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Part 1943, Subpart B; PA-972, Farmers Home Adminstration, Department of Agriculture.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.419, Watershed Protection and Flood Prevention Loans; 10.500, Cooperative Extension Service; 10.902, Soil and Water Conservation; 15.124, Indian Loans—Economic Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.417 VERY LOW-INCOME HOUSING REPAIR LOANS AND GRANTS

### (Section 504 Rural Housing Loans and Grants)

**FEDERAL AGENCY: FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE**

**AUTHORIZATION:** Title V of the Housing Act of 1949, Section 504, as amended; Public Laws 89-117, 89-754, and 92-310; 42 U.S.C. 1474.

**OBJECTIVES:** To give very low-income rural homeowners an opportunity to make essential repairs to their homes to make them safe and to remove health hazards to the family or the community.

**TYPES OF ASSISTANCE:** Direct Loans; Project Grants.

**USES AND USE RESTRICTIONS:** To assist owner-occupants in rural areas who do not qualify for Section 502 loans to repair or improve their dwellings in order to make such dwellings safe and sanitary and to remove hazards to the health of the occupants, their families, or the community. This includes repairs to the foundation, roof or basic structure as well as water and waste disposal systems, and weatherization. Restrictions: Maximum loan assistance of $7,500 to any eligible person and maximum grant assistance of $5,000 to any eligible elderly person for home improvement, however, maximum grant assistance must not exceed $5,000 and the loan/grant combination must not exceed $7,500; loans and grants may not be made to assist in the construction of new dwellings; and, the housing must be located in a place which is rural in character and does not exceed 10,000 population or in a place whose population exceeds 10,000 but is not in excess of 20,000, provided the place is not a Standard Metropolitan Statistical Area and has a serious lack of mortgage credit for low- and moderate-income families as determined by the Secretary of Agriculture and the Secretary of Housing and Urban Development.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must own and occupy a home in a rural area; be without sufficient income to qualify for a Section 502 loan; have sufficient income to repay the loan; and be a citizen of the U.S. or reside in the U.S. after having been legally admitted for permanent residence or on indefinite parole. Grant recipients must be 62 years of age or older and be unable to repay the part of the assistance received as a grant. Assistance is available in States, Puerto Rico, Virgin Islands, Guam, American Samoa, the Northern Marianas, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of ownership and verification of income and debts.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application form obtainable from the local FmHA offices.

**Award Procedure:** Delegated to County Supervisor.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 30 to 60 days from time applications is filed if no backlog of applications exists.

**Appeals:** Applicant may request reconsideration at the local County Office or may appeal to the District, State or National Office adverse actions on his or her loan application in accordance with FmHA appeal procedure. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan or grant applicant.

**Renewals:** Applicants may reapply at any time.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements. This program has no statutory formula. The following formula is used to allocate program loan funds to various States: (B x .50 C x .50)x funds available = State allocation. Where "B" is State's percentage of national rural population living in dwellings which lack complete plumbing and/or are crowded and the source is "Rural Housing Survey - 1977"; and "C" is State's percentage of national rural population below poverty level and the source is "Rural Housing Survey - 1977". The formula for grants is: (B x .33 C x .33 E x .33)x funds available = State allocation. Where "E" is State's percentage of national rural population 62 years of age and over and the source is "Rural Housing Survey - 1977". The statistical factor used for eligibility is: 1. recipients must reside in rural communities and the source is 1980 "Decennial Census."

**Length and Time Phasing of Assistance:** Refinancing is required when the borrower has obtained adequate resources to finance on his own account the necessary housing or is able to secure the necessary credit from other sources on terms and conditions which he can reasonably be expected to fulfill.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** As requested.

**Records:** Kept for outstanding loans and grants. Records retired in accordance with pertinent FmHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** (Loans) 12-4141-0-3-371; (Grants) 12-2064-0-1-604.

**Obligations:** (Loans) FY 81 $17,870,825; FY 82 est $24,000,000; and FY 83 est $24,000,000. (Grants) FY 81 $22,743,133; FY 82 est $15,000,000; and FY 83 est $12,500,000.

**Range and Average of Financial Assistance:** Loans-$200 to $7,500; $3,082; Grants-$200 to $5,000; $2,962.

**PROGRAM ACCOMPLISHMENTS:** (Loans made) - 5,799 in fiscal year 1981; and an estimated 7,300 in fiscal year 1982. (Grants made) - 7,679 in fiscal year 1981; and an estimated 4,700 in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 1904.301-1904.313; FmHA Instruction 1904-G "Section 504 Rural Housing Loans and Grants" (no charge); Home Improvement and Repair Loans, PA-1184, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.418 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, as Amended, Section 306; Public Law 92-419; 7 U.S.C. 1926.

**OBJECTIVES:** To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:** Project Grants; Direct Loans.

**USES AND USE RESTRICTIONS:** Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operations and maintenance costs, or to acquire or refinance an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation on the organization's borrowing authority nor the useful life of the improvement or facility to be financed. Interest rates will be set periodically and are based upon current market yields for municipal obligations. Certain loans may be obtained from any FmHA office. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

### ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Municipalities, counties, and other political subdivisions of a State, such as districts and authorities; associations, cooperatives, and corporations operated on a not-for-profit basis; and Indian tribes on Federal and State reservations and other federally recognized Indian tribes. Facilities shall primarily serve rural residents. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms, and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Plans and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual benefited user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the cost to grant eligible users exceeds the following percentages of median incomes for the applicant service area; .75 percent when the median income is under $6,000; 1.00 percent when the median income is $6,000 to $10,000; and 1.25 percent when the median income is over $10,000. The FmHA grant may not exceed 75 percent of the eligible project development cost. Assistance is authorized for eligible applicants in rural areas of States, Puerto Rico, the Virgin Islands, Guam, Pacific Trust Territories, and American Samoa.

**Beneficiary Eligibility:** Farmers, ranchers, rural residents and other users in eligible applicant areas as set out above.

**Credentials/Documentation:** Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Preapplications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is required for this program.

**Application Procedure:** Preapplication Form AD-621 is filed at the local FmHA County or District office from which assistance may be obtained.

**Award Procedure:** After the preapplication has been reviewed by the FmHA District Director, it is forwarded to the FmHA State Director for review and processing instructions. Following loan/grant approval and completion of application processing requirements, funds are made available to the FmHA District Director for delivery. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the next higher management level of FmHA.

**Renewals:** Not applicable.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Funds are allocated to States based upon rural population and number of households in poverty; no requirement for matching funds.

**Length and Time Phasing of Assistance:** A time limitation is not specified for the use of FmHA loan or grant funds. Funds will be awarded when all FmHA requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the FmHA to cover expenses for a 30-day period.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** Periodic reports are to be made to the FmHA District Director.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of loans and grants and other agreements.

**Records:** Records and accounts are required to reflect the operations of the facility.

### FINANCIAL INFORMATION:

**Account Identification:** (Loans) 12-4155-0-3-452; (Grants) 12-2066-0-1-452.

**Obligations:** FY 81 $750,000,000; FY 82 est $375,000,000; and FY 83 est $300,000,000 (Grants) FY 81 est $210,022,000; and FY 82 est $125,000,000; and FY 83 est $120,000,000.

**Range and Average of Financial Assistance:** (Loans) $1,000 to $12,056,200; $383,561; (Grants) $1,000 to $2,829,500; $295,484.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,768 loans and 785 grants were made. It is estimated that 808 loans and 432 grants will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 1942, Subpart A (loans) and 7 CFR 1942 Subpart H (grants); Water and Waste Disposal Loans and Grants, PA 1203.

### INFORMATION CONTACTS:

**Regional or Local Office:** Consult your local telephone directory for FmHA county or District office number. If no listing, get in touch with the appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967.

**RELATED PROGRAMS:** 11.300, Economic Development—Grants for Public Works and Development Facilities; 14.218, Community Development Block Grants/Entitlement Grants; 66.418, Construction Grants for Wastewater Treatment Works.

**EXAMPLES OF FUNDED PROJECTS:** The following areas received funds for specified projects: Lacey-Ladelle Water Association Drew County, Arkansas, water system improvements in the amount of $658,000; Town of Cowpens Spartenburg County, South Carolina, for sewer system improvements in the amount of $264,000; Lee County Fresh Water Supply Dist. Lee County Texas, for sewer construction project in the amount of $374,000; Village of Dryden Lapeer County, Michigan, for water system construction in the amount of $375,000; and the Rye Water District Rockingham County, New Hampshire, for water improvement project in the amount of $800,000.

**CRITERIA FOR SELECTING PROPOSALS:** In selecting applications for funding, the agency cooperates fully with appropriate State agencies and substate planning districts to assure maximum support in carrying out the State's strategies for rural development. Priority considerations for available funds are given to: applications from public bodies; projects needing improvements to comply with the Safe Drinking Water Act; applications from communities of less than 5,500 population; projects that will enlarge, extend, or modify an existing facility to provide service to additional users; projects which will involve merging of ownership thereby resulting in more efficient management and economical services to rural residents; and, to projects serving low income communities. Farmers Home Administration financed facilities must not be inconsistent with any development plans of the State, multijurisdictional area, counties, or municipalities in which the proposed project is located. FmHA gives priority to communities with a large portion of their population with low income consistent with agency eligibility criteria.

## 10.419 WATERSHED PROTECTION AND FLOOD PREVENTION LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Watershed Protection and Flood Prevention Act, as amended; Public Law 93-566; Section 9, 16 U.S.C. 1006a and Flood Control Act, as amended; Public Law 78-534.

**OBJECTIVES:** To provide loan assistance to sponsoring local organizations in authorized watershed areas for share of cost for works of improvement.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loan funds may be used to help local sponsors provide the local share of the cost of watershed works of improvement for flood prevention, irrigation, drainage, water quality management, sedimentation control, fish and wildlife development, public water based recreation, and water storage and related costs. The total amount of WS loans outstanding in any one watershed cannot exceed $10,000,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** To be eligible for a watershed loan an applicant must: (1) be a sponsoring local organization, such as municipal corporation, soil and water conservation district, or other organization not operated for profit in the approved watershed project and (2) have authority under State law to obtain, give security for and raise revenues to repay the loan and to operate and maintain the facilities to be financed with the loan. Assistance is authorized for eligible applicants in approved watershed areas in States, Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is required for this program.

**Application Procedure:** Preapplication Form AD-621 is filed at county or District FmHA office from which assistance may be obtained.

**Award Procedure:** After the preapplication has been reviewed by the District Director, it is forwarded to the FmHA State Director for review and processing instructions. Following review, by the State Director, the applicant is notified about eligibility, availability of funds and if an application should be filed. Upon favorable review and approval of a complete application package, funds are made available to the District FmHA Director for delivery. Notification of the awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the next higher management level of FmHA.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** A time limitation is not specified for the use of FmHA loan funds. Funds will be awarded when all FmHA requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by FmHA.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic progress reports are made to the FmHA.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:** Records and accounts are required to reflect the operations of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Insured Loans) FY 81 $16,912,100; FY 82 est $26,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $4,000 to $7,500,000; $2,114,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 16 loans were made. It is estimated that 11 loans will be made in fiscal year 1982 and 0 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Watershed Loans - Farmers Home Administration - PA-406 - no charge. Farmers Home Administration - PA-973 - no charge. 7 CFR 1942 Subpart I.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county or District office number. If no listing, contact with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Community Facilities Division, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1490 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.416, Soil and Water Loans; 10.423, Community Facilities Loans; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 10.906, River Basin Surveys and Investigations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable. This program has no statutory formula.

## 10.420 RURAL SELF-HELP HOUSING TECHNICAL ASSISTANCE

### (Section 523 Technical Assistance)

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Housing Act of 1949 as amended, Section 523; Public Law 89-117 and Public Law 89-754; 42 U.S.C. 1490c.

**OBJECTIVES:** To provide financial support for the promotion of a program of technical and supervisory assistance which will aid needy low-income individuals and their families in carrying out mutual self-help efforts in rural areas.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Organizations may use technical assistance funds: to hire the personnel to carry out a program of technical assistance for self-help housing in rural areas; to pay necessary and reasonable office and administrative expenses; to make essential equipment such as power tools available to families participating in self-help housing construction; and to pay fees for training self-help group members in construction techniques or for other professional services needed. Funds will not be used to hire personnel to perform any construction work, to buy real estate or building materials, or pay any debts, expenses or costs other than previously outlined for participating families in self-help projects.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a State or political subdivision, public nonprofit corporation or a private nonprofit corporation. Funds available in open country and communities with 10,000 population or less which are rural in character and places up to 20,000 population under certain conditions. Applicants in towns of 10,000 to 20,000 should check with local FmHA office to determine if agency can serve them. Assistance is authorized for eligible applicants in States, Puerto Rico, Virgin Islands, Guam, American Samoa, the Northern Marianas, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Low-income rural family, usually in groups of 6 to 10 families.

**Credentials/Documentation:** Applicant must furnish evidence of the need for such services, have legal capacity to incur the obligation and operate the proposed project, and be unable to obtain the necessary funds from other sources.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment and environmental impact statement are required for this program.

**Application Procedure:** Form AD-621 is submitted to the District Office of the Farmers Home Administration, including information attached to Part IV, fully documenting the applicant's experience, need for the grant and the proposed amount needed. Attachments relating to the size of the proposed project, estimated cost, budget and need are also required. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Award is made by the State Director or District Director. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 40 to 180 days from the time discussion begins.

**Appeals:** A uniform procedure whereby an organization which is directly or adversely affected by an administrative decision by FmHA is found in 7 CFR Subpart B of part 1900, "Farmers Home Administration Appeal Procedure."

**Renewals:** Applicants may reapply at any time, if need to help low-income families build homes in rural areas by the mutual self-help method is clearly evidenced.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Grants can be made for a period of up to two years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly progress reports are to be made to the FmHA District Office.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Adequate operating records must be maintained by borrower.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2006-0-1-604.

**Obligations:** (Grants) FY 81 $13,197,000; FY 82 $5,236,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** FY 80 $45,000 to $801,400; $124,226. FY 81 $45,000 to $1,663,560.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that 78 grants were made in fiscal year 1981, and that 28 grants will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Subpart I of Part 1933; Chapter XVIII; FmHA Instruction 1933-I, "Self-Help Technical Assistance Grants;" (PA 1254) (no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA District Office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1604 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans; 10.411, Rural Housing Site Loans.

**EXAMPLES OF FUNDED PROJECTS:** An example of a funded project is Self-Help Enterprises of Visalia, California.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria for selecting proposals are the evidence of a clearly defined need in an area for mutual Self-Help Housing and the families in the area cannot afford or obtain a modest house by customary methods, and the applicant possesses the expertise to provide the Technical Assistance (TA) required.

## 10.421 INDIAN TRIBES AND TRIBAL CORPORATION LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Public Law 91-229, approved April 11, 1970.

**OBJECTIVES:** To enable tribes and tribal corporations to mortgage lands as security for loans from the Farmers Home Administration to buy additional land within the reservation.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loan funds may be used to acquire land for lease to tribal members, lease to cooperative grazing units, or for use for recreational and commercial purposes, for rounding out grazing units, for elimination of fractional heirships or other purposes approved in advance by the National FmHA office. Funds may also be used for incidental costs connected with land purchase. Loan funds cannot be used for development, equipment, or operating costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Limited to any Indian tribe recognized by the Secretary of the Interior or tribal corporation established pursuant to the Indian Reorganization Act which does not have adequate uncommitted funds to acquire lands in the tribe's reservation or in a community in Alaska incorporated by the Secretary of the Interior pursuant to the Indian Reorganization Act. Must be unable to obtain adequate credit elsewhere and must be able to show reasonable prospects of success.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Credentials provided by Secretary of Interior. Feasibility documentation must be supplied by applicant.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Secretary of Interior must determine that lands to be acquired lie within a tribal reservation or community in Alaska incorporated by the Secretary of Interior pursuant to the Indian Reorganization Act. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Preapplication Form AD-621 will be submitted to the county FmHA office.

**Award Procedure:** After application has been recommended by the county supervisor and the county committee, the State Director has final approval authority on loans up to $1,000,000. Loans in excess of that amount require National Office approval. Following approval, payment authorization is forwarded to National Finance Office which issues the check. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 30 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may reapply at any time that the reasons for rejection are corrected. If not satisfied with the State Director's action, the applicant is given an opportunity to appeal the decision to the next higher level of the FmHA decision making process. The applicant may in the final step of the appeals process, appeal to the Administrator of the Farmers Home Administration, Washington, DC.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The loan assistance may equal the project cost if the applicant is financially unable to contribute a part of the cost.

**Length and Time Phasing of Assistance:** Loans may be scheduled over a period of 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** During the first year of operation, monthly progress reports are to be made to the FmHA County Supervisor. Sometime after the first 4 months, but before the end of the 9th month of operation, the FmHA District Director will review and make a report on the operation of the facilities.

**Audits:** Annual audits are required.

**Records:** Records and accounts are required to reflect the operations of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 $3,566,000; and FY 82 est $11,900,000; and FY 83 Not available.

**Range and Average of Financial Assistance:** $380,000 to $6,000,000; $2,127,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, applications received 7, on hand 7. There were 3 loans obligated in fiscal year 1980 and 4 in fiscal year 1981. It is estimated that 12 loans will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Part 1823, Subpart N, FmHA Instruction 442.11, FmHA Credit for American Indians, PA-1129.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in the Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.422 BUSINESS AND INDUSTRIAL LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, as amended, Section 310 B, Public Law 92-419; 7 U.S.C. 1932.

**OBJECTIVES:** To assist public, private, or cooperative organizations (profit or nonprofit), Indian tribes or individuals in rural areas to obtain quality loans for the purpose of improving, developing or financing business, industry, and employment and improving the economic and environmental climate in rural communities including pollution abatement and control, and the conservation, development, utilization of water for aquaculture purposes, and reducing the reliance on nonrenewable energy resources by encouraging the development and construction of solar energy systems.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** No financial assistance can be extended: (a) except for loans of under $1 million or where direct employment is 50 or less employees and where it is calculated to or is likely to result in the transfer from one area to another of any employment or business activity provided by operations of the applicant, (b) except for loans of under $1 million or where direct employment is 50 or less employees and where it is calculated to or likely to result in an increase in the production of goods, materials, commodities, or the availability of services or facilities in an area when there is not sufficient demand for such goods, materials, commodities, services or facilities, to employ the efficient capacity of existing competitive commercial or industrial enterprises, (c) where the Secretary of Labor certified within 30 days after the matter has been submitted to him by the Secretary of Agriculture that the items in (a) and (b) above have not been complied with, (these requirements apply to projects in excess of $1 million and when direct employment increases more than 50 employees), (d) to pay off a creditor in excess of the value of the collateral, (e) for distribution or payment to the owner, partners, shareholders, or beneficiaries of the applicant or members of their families when such persons shall retain any portion of their equity in the business, (f) for projects involving agricultural production, (g) for transfer of ownership of a business unless the loan will keep the business from closing, or prevent the loss of employment opportunities in the area, or provide expanded job opportunities; (h) for the guarantee of lease payments; (i) for financing community antenna television services or facilities; and (j) for guarantee of loans made by other Federal agencies except those made by banks for Co-ops, Federal Land Bank or Production Credit Associations. Not more than 90 percent of the loss on principal advanced and accrued interest and principal and accrued interest on secured protective advances may be guaranteed to the lender. An insured loan may be made when the applicant and FmHA agree that a guaranteed lender is not available, if not otherwise restricted.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An applicant may be a cooperative, corporation, partnership, trust or other legal entity organized and operated on a profit or nonprofit basis; an Indian Tribe; a municipality, county, or other political subdivision of a State; or an individual in rural areas. Applicant must be located in one of the fifty States, Puerto Rico, Virgin Islands, Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands, in areas other than cities having a population of more than 50,000 and is immediately adjacent to urbanized and urbanizing areas with a population density of more than 100 persons per square mile. Preference is to be given to those projects in areas other than cities having a population of more than 25,000 and, on applications of equal priority, to veterans. Applicants must be U.S. citizens or reside in the U.S. after being legally admitted for permanent residence and, if corporations, 51 percent ownership must be held by such persons. For FY 1982 applications may be submitted for Alcohol Fuel Facilities loans under separate funding authority. Lenders are required to hold their portfolio or retain 5 percent of the total guaranteed loan(s) amount and must consist of the unguaranteed portion of the loan and cannot be participated to another.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All preapplication letters must be coordinated fully with appropriate State agencies in a manner that will assure maximum support of the State's strategies for development of its rural areas. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). State and substate A-95 agencies may recommend priorities for applications. FmHA will review all A-95 comments and recommendations in selecting applications for processing. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental assessment and environmental impact statement are required for this program.

**Application Procedure:** Preapplication letter or Form FmHA 449-1 is used for guaranteed loans and filed at the local FmHA State office. For insured loans Form AD-621 is used.

**Award Procedure:** Applications are forwarded to the FmHA Director for his review and final approval. National office concurrence is required on all insured loans and recommendations are made to the State Director on loans in excess of his or her loan approval authority. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the FmHA Administrator provided the request is in writing and accompanied by supporting information and documentation with a copy of such material concurrently submitted to the State Director. The Administrator notifies the requestor and State Director of his decision.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching funds are not required. FmHA insured loans may be made in connection with the funds provided by the applicant or other sources. For existing businesses applicants are required to provide a minimum of 10 percent equity. For new business and thos business which can not offer personal/corporate guarantees, or for energy related business, 20-25% equity is required. Feasibility studies are normally required on loans of $1 million or more.

**Length and Time Phasing of Assistance:** The maximum final maturity of an FmHA guaranteed loan will be limited to 30 years for land, buildings and permanent fixtures; the useable life of machinery or equipment purchased with loan funds but not to exceed 15 years; and 7 years for the working capital portion of a loan. The maximum allowable maturity of an FmHA insured loan for community facilities shall not exceed 40 years. Certain fees and charges are limited by regulation and only certain types and uses of interest rates are permitted.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each lender will be required to monitor and report to FmHA on actual performance during the construction of each project financed, or to be financed in whole or in part with FmHA assistance. When project is in operation, field visits will be made and customary financial statements are to be provided as determined by the lender and FmHA.

**Audits:** independent audits are required annually.

**Records:** Records and accounts will be maintained.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4155-0-3-452.

**Obligations:** (Loans) FY 81 $652,280,250; FY 82 est $300,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $11,000 to $50,000,000; $800,000.

**PROGRAM ACCOMPLISHMENTS:** There were 630 loans obligated in fiscal year 1981. It is estimated that 300 B&I loans and 30 alcohol fuel facilities will be made in fiscal year 1982 and that no loans will be made in fiscal year 1983. Guaranteed loans have been made to mining, transportation and manufacturing companies; retail and wholesale business, alcohol production facilities and service oriented businesses.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Part 1980-A Section 1980.1 through 1980.100 and 1980-E Section 1980.401 through 1980.500; Business and Industrial Loans, PA-1101; and Facts for Lenders, PA-1142; Minority Outreach for Business and Industry, PA-1258.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number: If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967.

**RELATED PROGRAMS:** 10.423, Community Facilities Loans; 15.124, Indian Loans—Economic Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.423 COMMUNITY FACILITIES LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Consolidated Farm and Rural Development Act, Section 306; Public Law 92-419; 7 U.S.C. 1926.

**OBJECTIVES:** To construct, enlarge, extend, or otherwise improve community facilities providing essential services to rural residents.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Community facilities include but are not limited to those providing or supporting overall community development such as fire and rescue services, transportation, traffic control, community, social, cultural, and health benefits: industrial park sites, access ways, and utility extensions. All facilities financed in whole or in part with FmHA funds shall be for public use.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies, political and quasi-political subdivisions of States and associations including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes and existing private corporations which (1) are operated on a not-for-profit basis, (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan, and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Eligibility includes State agencies, political and quasi-political subdivisions of States and associations including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes and existing private corporations which are operated on a not-for-profit basis which serve residents of open country and rural towns and villages of not more than 20,000 population.

**Credentials/Documentation:** Evidence of legal capacity and financial responsibilty of the applicant and the economic feasibility of the project relative to the activity for which assistance is requested.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is required for this program.

**Application Procedure:** Preapplication Form AD-621 is filed at the local FmHA County or District Office from which assistance may be obtained.

**Award Procedure:** After the preapplication has been reviewed by the FmHA District Director, it is forwarded to the FmHA State Director for review and processing instructions. Following review by the State Director, the applicant is notified about eligibility, availability of funds and if an application should be filed. Upon completion of application processing requirements and approval by the State Director, funds are made available to the FmHA District Director for delivery. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the next higher management level of FmHA.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching funds are not required, but may be used in connection with the funds provided from the applicant or other sources. Funds are allocated to States based upon rural population and number of households in poverty and the source is "1970 Decennial Census" modified by Rural Development Services. The statistical factor for eligibility is : 1. towns or incorporated areas must be under 20,000 population. The source is "Latest Decennial Census." This program has no statutory formula.

**Length and Time Phasing of Assistance:** A time limitation is not specified for the use of FmHA loan or grant funds. Funds will be awarded when all FmHA requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the FmHA to cover expenses for a 30 day period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic reports are made to FmHA. Each borrower will monitor and report to FmHA on actual performance during the construction of each project financed or to be financed in whole or in part with FmHA loans funds.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:** The borrower must maintain adequate records and accounts of the operation of the facility developed.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4155-0-3-452.

**Obligations:** (Loans) FY 81 $260,000,000; FY 82 est $130,000,000; and FY 83 est $130,000,000.

**Range and Average of Financial Assistance:** $3,500 to $4,800,000; $300,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 862 loans were made. It is estimated that 424 loans will be made in fiscal year 1982 and 386 in fiscal 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 1942, Subpart A; Community Facility Loans, PA-1100.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA County or District office numbers. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Community Facilities Division, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1490 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.664, Cooperative Forestry Assistance; 10.500, Cooperative Extension Service; 15.124, Indian Loans—Economic Development.

**EXAMPLES OF FUNDED PROJECTS:** Loans were made to: (1) establish rural health clinics in medically underserved areas, (2) purchase fire fighting equipment for rural towns, (3) construct new municipal buildings, (4) build new schools to serve rural counties, and (5) renovate hospitals to meet current life/safety codes.

**CRITERIA FOR SELECTING PROPOSALS:** Projects are selected for funding giving due consideration to State development strategies, A-95 clearinghouse comments, serving the largest number of low income rural residents and priority recommendations. Priority for funding will be first to those projects that will enhance public safety such as fire, police, rescue and ambulance services; secondly, those health care facilities which are necessary to conform with life/safety code; third, for those public service facilities such as community buildings and courthouses; fourth, new hospitals and major expansion of existing hospitals.

## 10.427 RURAL RENTAL ASSISTANCE PAYMENTS
## (Rental Assistance)

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Housing Act of 1949 as amended; Section 521; Public Laws 90-448, 93-128; 42 U.S.C. 1490a.

**OBJECTIVES:** To reduce the rents paid by low-income families occupying eligible Rural Rental Housing (RRH), Rural Cooperative Housing (RCH), and Farm Labor Housing (LH) projects financed by the Farmers Home Administration through its Sections 515, 514 and 516 loans and grants.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Rental assistance may be used to reduce the rents paid by low-income senior citizens or families and domestic farm laborers and families whose rents exceed 25 percent of an adjusted annual income which does not exceed the limit established for the State as indicated in 7 CFR Exhibit C to Part 1822, Subpart A. (FmHA Instruction 444.1, Exhibit C). Tenants who may be eligible must occupy units in eligible RRH, RCH and LH projects financed by FmHA.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** To be eligible to participate in the rental assistance program, borrowers must have an eligible project. All projects must convert to Interest Credit Plan II before they are eligible, except direct RRH and insured RRH loans approved prior to August 1, 1968, and LH loans and grants. For a borrower to have an eligible project, the loan must be an RRH insured or direct loan made to a broad-based nonprofit organization, or State or local agency or; an RRH insured loan made to an individual or organization who has or will agree to operate the housing on a limited profit basis as defined in 7 CFR 1944.215(l) or; an RCH insured or direct loan or; an LH loan, or an LH loan and grant combination made to a broad-based nonprofit organization or nonprofit organization of farmworkers or a State or local public agency. New construction and/or rehabilitation projects, utilizing the Section 8 program from HUD will not be considered eligible projects, although it may be used for eligible families in existing projects utilizing Section 8 for part of the units.

**Beneficiary Eligibility:** Any low-income family, handicapped or senior citizen that is unable to pay the approved rental rate for an eligible FmHA rental assistance unit within 25 percent of their adjusted monthly income and whose adjusted income does not exceed the limit established for the State as indicated in Exhibit C to Part 1822, Subpart A (7 CFR).

**Credentials/Documentation:** The applicant must be the owner or plan to become an owner of an eligible FmHA RRH, RH, or LH project operating on a limited profit or nonprofit basis.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible borrowers will initiate the processing by submitting Form FmHA 444-25, "Request for Rental Assistance". Also, 20 percent or more of the families eligible for rental assistance in an eligible project may petition the borrower to obtain rental assistance on their behalf. A copy of this petition shall be submitted to the FmHA District Director. Applications shall then be reviewed under the procedure set forth in Exhibit C of FmHA Instruction 1944-E.

**Award Procedure:** After the application has been reviewed by the District Director, it is given final approval by the State Director. The State Director will determine the number of rental assistance units to be given from the total of units that were allocated to the State. The State Director shall authorize rental assistance projects with priority to projects based on the earliest date that Form FmHA 444-25 is submitted in acceptable form to FmHA. Projects consisting of units for low-income and moderate-income families may be eligible for rental assistance for up to 40 percent of the number of units in the project. Projects consisting of units for the elderly may be eligible for rental assistance for up to 100 percent of the units. Farm Labor Housing projects with a loan and grant may be eligible for rental assistance for up to 100 percent of the number of units in the project, however, with loan only they will be limited to 20 percent of the number of units.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 30 to 90 days from the time Form FmHA 444-25, "Request for Rental Assistance" is filed.

**Appeals:** Applicant or beneficiary may request reconsideration at the local, State, or National Office level on the basis of pertinent facts concerning the application within 45 days of the date of the notice of denial of assistance.

**Renewals:** Rental assistance contracts for new as well as existing projects may be renewed for an additional 5 years at the end of the original contract.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation are: 1. State percentage of FMHA rural population and the source is "1980 Census" updated by ESCS; 2. State percentage of FMHA rural housing units lacking plumbing and/or overcrowded and the source is "1980 Census;" 3. State percentage of persons in poverty living in FMHA rural areas and the source is "1980 Census;" and 4. FMHA housing construction costs for State per capita (rural FMHA population) and the source is "FMHA administrative records."

**Length and Time Phasing of Assistance:** Rental assistance contracts for new construction projects shall be for 20 or 5 years as appropriate. Rental assistance contracts for existing projects shall be for 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The borrower must initially submit Form FmHA 444-8, "Tenant Certification," for each tenant. Subsequent tenant certifications must be obtained annually and submitted to the District Director. Monthly progress reports are to be made to the FmHA District Director during the first year of operation or until the requirement is waived by FmHA. An annual report will also be necessary.

**Audits:** Required annually from borrowers with 21 or more units in one or more projects. Conducted by certified public accountant selected by borrower. The program is also subject to audit by the USDA Office of Inspector General.

**Records:** Adequate operating records must be maintained by borrower.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4141-0-3-371.

**Obligations:** (Direct payments) FY 81 $402,982,396; FY 82 est $398,000,000; and FY 83 est $185,000,000.

**Range and Average of Financial Assistance:** No data on this subject are available at this time.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 17,655 families were assisted through this program. It is estimated that 14,280 families will be assisted during fiscal year 1982 and that 17,560 families will be assisted during fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** FmHA Instruction 1944-E "Rural Rental Housing Loan Policies, Procedures, and Authorizations;" 7 CFR 1822. Rental Assistance Program Fact Sheet, PA 1210 (dated March 1978).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA county office number. If no listing, get in touch with appropriate FmHA State office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-1604. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.405, Farm Labor Housing Loans and Grants; 10.415, Rural Rental Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.428 ECONOMIC EMERGENCY LOANS

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Emergency Agricultural Credit Adjustment Act of 1978; Public Law 95-334 as amended by Public Law 96-220, as amended by Public Law 97-98.

**OBJECTIVES:** To make adequate financial assistance available in the form of loans insured or guaranteed for bona fide farmers, ranchers and aquaculture operators who are primarily and directly engaged in agricultural production. This is done so that they may continue their normal farming or ranching operations during the economic emergency which has caused a lack of agricultural credit due to national or area wide economic stress. Examples of these are a general tightening of agricultural credit or an unfavorable relationship between production costs and prices received for agricultural commodities.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Funds may be used for purposes which are essential to carrying on farming operations including: operating purposes; consolidating, restructuring, or limited refinancing of secured or unsecured real estate and chattel indebtedness; purchase of milkbase, grazing licenses, fuel, seed, fertilizer, farm supplies, and labor; payment of customary cash rent or cash charges for the use of essential buildings, pasture, crops, hay, land, and grazing permits. Up to $25,000 in a fiscal year can be loaned for real estate improvements and repairs (excluding dwellings) where real estate collateral is available or the applicant has a lease that provides adequate reimbursement to the tenant for the unexhausted value. Loan funds cannot be used to purchase land, lease additional land which would increase the number of acres of the operation above the highest level operated during the year of application or the year preceding application, whichever is greater. The total principal balance outstanding at any time on an Economic Emergency Loan(s) shall not exceed $400,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** To be eligible an applicant must: (1) If an individual, be a citizen of the United States, if a cooperative, corporation or partnership, those members, stockholders, or partners who have a majority interest in the entity applying for the loan must be citizens, (2) be a bona fide farmer (owner, operator, or tenant-operator), doing business in the United States either as an individual, cooperative, corporation or partnership, which is primarily and directly engaged in agricultural production, (3) possess legal capacity to contract for the loan, and (4) be unable to obtain credit elsewhere in order to maintain a viable farm enterprise.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Both the lender (if guaranteed) and the applicant must certify to certain requirements in order for FmHA to determine if the applicant is eligible. The lender, if the loan is guaranteed, furnishes information about applicant's operating history, planned use of loan funds, security, repayment ability, etc., for FmHA use in determining loan feasibility. The county committee will review the application and determine whether or not the applicant meets eligibility requirements. If the loan request is $300,000 or more, the applicant will be required to apply at not less than 3 conventional lending sources including Production Credit Association or Federal Land Bank.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For insured loans, the applicant must complete Form FmHA 410-1, Application for FmHA Services. For guaranteed loans, the lender and the applicant must complete FmHA Form 449-6, Application for Guaranteed Loan, and FmHA Form 1980-25, Request for Guarantee, respectively. These forms are furnished by FmHA.

**Application Procedure:** For insured loans, Form FmHA 410-1 must be presented to the FmHA County Office servicing the applicant's county. FmHA personnel assist applicants in completing the application form. For guaranteed loans, FmHA Forms 449-6 and 1980-25 are presented by lender and applicant to the FmHA county office serving the county where the applicant's operation is located.

**Award Procedure:** FmHA County Supervisors, and State Directors are authorized to approve insured and guaranteed Economic Emergency Loans, subject to certain administrative requirements.

**Deadlines:** The Economic Emergency Loan Program terminates on September 30, 1982. No insured Economic Emergency Loans will be approved and no new advances will be guaranteed after September 30, 1982.

**Range of Approval/Disapproval Time:** Approximately 2 to 3 weeks, but usually not to exceed 30 days.

**Appeals:** Applicants may request reconsideration by County Committee and loan approval official(s). An applicant may also appeal under the agency's administrative appeal regulations to the FmHA State Director and Administrator to review rejection of an application.

**Renewals:** Outstanding Economic Emergency Loans made for operating purposes may be rescheduled for repayment over a period not in excess of 7 years from the date of the rescheduling. Loans for real estate purposes, secured by real estate, may be reamortized for up to 40 years from the date of the original note. In certain cases, operating loans may be rescheduled for up to 20 years from the date of the original note. Generally real estate is needed for security when longer repayment periods are authorized. Interest rates are based on cost of money to the Government plus not to exceed 1 percent.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** This varies in accordance with needs in individual cases and type of security available.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Borrowers are required to account for all security property. Lenders under the guaranteed program are required to make periodic reports to FmHA on delinquency and loan reschedules.

**Audits:** This varies in individual cases -- none in most cases.

**Records:** Borrowers are expected to keep sufficient and adequate records for tax purposes and management decision making.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4140-0-3-351.

**Obligations:** (Loans) FY 81 est $1,400,000,000; FY 82 est $600,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Up to $400,000; $48,538.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, 45,026 loans were made. It is estimated that 38,115 loans will be made during fiscal year 1981. The authority for making these loans expire on September 30, 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Farmers Home Administration factsheet - "FmHA Economic Emergency Loans." Administrative regulations were published in Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA County Office number. If no listing, get in touch with appropriate FmHA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Farmers Home Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7967. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.404, Emergency Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.430 ENERGY IMPACTED AREA DEVELOPMENT ASSISTANCE PROGRAM

### (Section 601)

**FEDERAL AGENCY:** FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Powerplant and Industrial Fuel Use Act of 1978, Title VI, Section 601; Public Law 95-620; and FY 1981 Department of Interior and Related Agencies Appropriations Act; Public Law 96-514.

**OBJECTIVES:** To help areas impacted by increased coal or uranium development activities by providing assistance in the approved designated energy impact areas for the development of growth management or housing plans, or the acquisition or development of sites for housing or public facilities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for the preparation of growth management or housing plans and up to 75 percent of the actual cost of developing or acquiring sites for public facilities or housing for which other financial resources are otherwise not available in an approved designated area. Planning projects funded by this program should be coordinated with other planning activities for the area. Site acquisition and development projects must be contained in an appropriate FmHA-approved growth management and housing plan and an FmHA-approved State Investment Strategy for the energy impact area. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provision of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Local governments, councils of local governments, and State governments.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal existence and authority to prepare growth management or housing plans for planning grants. For site development and acquisition grants applicant must also furnish evidence of legal existence and authority necessary to undertake the proposed project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Preapplications on Form AD-621, "Preapplication for Federal Assistance" must be used on all planning grants and all site development and acquisition grants over $100,000. Local governments and councils of local governments shall submit preapplications to the appropriate FmHA District Office; State governments shall apply at the appropriate FmHA State Office. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact assessment and an environmental impact statement are required for this program. Specific concurrence of the Governor is required if the proposed applicant is neither a council of local governments nor a general purpose political subdivisin of a State.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Upon notification on Form AD-622, "Notice of Preapplication Review Action," that the applicant is eligible to compete with other applicants for project funding, an application on Form AD-623, "Application for Federal Assistance (Nonconstruction Programs)" or Form AD-624, "Application for Federal Assistance (For Construction Programs)", as appropriate, may be submitted to appropriate FmHA District Office.

**Award Procedure:** FmHA District Offices make recommendations concerning preapplications filed with their office which are forwarded to the FmHA State Office where final determination is made. Following approval, payment authorization is forwarded to National Finance Office, which issues the checks. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Notice of action on preapplication will be within 45 days of date of receipt of preapplication.

**Appeals:** Applicants may request reconsideration on the basis of pertinent facts concerning the application within 30 days of the date of the notice of denial.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants may be made for 100 percent of the total cost of developing aspects of growth management plans or housing plans. Grants may be made for up to 75 percent of the actual cost of developing or acquiring sites for housing or public facilities for which financial resources are otherwise not available.

**Length and Time Phasing of Assistance:** Planning grants are normally made for 12 months. Site acquisition and development grants vary in length of time needed. Checks are normally issued monthly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial and performance reports are required of grantees.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant shall be retained for a period of at least three years after closing.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0215-0-1-272.

**Obligations:** (Grants) FY 81 $16,367,000; FY 82 est $3,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Planning grants: $7,500 to $218,000; average $35,000. Site acquisition and development grants: $1,870 to $825,000; average $200,000.

**PROGRAM ACCOMPLISHMENTS:** In FY 80, 218 grants were made; and in FY 81 est is that 46 grants will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 1948 Subpart B; Section 1948.51 through 1948.100. Regulations, applicant's preapplication checklist, and administrative instructions for FmHA State and county offices were published in the June 19, 1979, edition of the Federal Register. Revisions to original regulations were published in the June 26, 1981, edition of the Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA County Office number. If no listing, get in touch with appropriate FmHA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Energy Impact Assistance Division, Farmers Home Administration, Room 5449 South Building, Department of Agriculture, Washington, DC 20250. Telephone (202) 447-9296 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Energy impact planning; site acquisition and development for single-family and multi-family housing and for public facilities such as firehouses, sewer plants, water plants, community centers, libraries, city or town halls, and schools.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Priority assigned by the Governor in the State investment strategy for energy impacted areas; 2) degree of employment in coal or uranium development activities; 3) severity of need for housing, public facilities, and services that has resulted from coal or uranium development activities; 4) availability of State and local financial resources and 5) assessment of the environmental impact on the projects.

## 10.431 TECHNICAL AND SUPERVISORY ASSISTANCE GRANTS

### (Section 525 and Technical and Supervisory Assistance)

**FEDERAL AGENCY: FARMERS HOME ADMINISTRATION, DEPARTMENT OF AGRICULTURE**

**AUTHORIZATION:** Housing Act of 1949 as amended; Section 525(a); Public Law 93-383; 42 U.S.C. 1490 e(a).

**OBJECTIVES:** To assist low-income rural families in obtaining adequate housing to meet their needs and/or to provide the necessary guidance to promote their continued occupancy of already adequate housing. These objectives will be accomplished through the establishment or support of housing delivery and counseling projects run by eligible applicants. This program is intended to make use of any available housing programs which provide the low-income rural resident access to adequate rental properties or home ownership.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Organizations may use technical and supervisory assistance funds: to hire the personnel to carry out a program of housing counseling and delivery to meet the needs of low-income families in rural areas; to pay necessary and reasonable office and administrative expenses; and to pay reasonable fees for training of organization personnel. Funds will not be used: to pay any part of the cost for acquisition, construction, repair or rehabilitation of structures, or acquisition of land, vehicles or equipment; to hire personnel to perform construction; or to pay any debts, expenses or costs other than previously outlined and approved in the project application. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a State or political subdivision, public nonprofit corporation (including Indian Tribes or tribal corporations) authorized to receive and administer technical and supervisory assistance grants, or private nonprofit corporation with local representation from the area being served. Applicants must provide services under this program to families residing in open country and communities under 10,000 population which are rural in character and places up to 20,000 population under certain conditions. Applicants in towns of 10,000 to 20,000 should check with local FmHA office to determine if agency can serve them. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands and the territories and possessions of the United States.

**Beneficiary Eligibility:** Low-income rural families who (1) need adequate housing and/or (2) are borrowers under Farmers Home Administration housing programs with financial problems who need financial counseling to overcome delinquency and/or to prevent foreclosure.

**Credentials/Documentation:** Applicants must have the financial, legal, administrative and operational capacity to carry out the objectives of the program by (1) having the experience in rural housing delivery and counseling or (2) being assisted by an organization with such experience which agrees in writing that it will provide, without charge or fees, the assistance that applicant will need to carry out its responsibilities under the grant agreement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Preapplications on Form AD-621, "Preapplication for Federal Assistance," must be submitted to the FmHA District Office. Applicants are encouraged to consult with the FmHA District Office prior to submission of a preapplication and to receive assistance in the preparation of their preapplication. An environmental impact assessment is required for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applicants must file a preapplication. Standard application forms as furnished by the agency and required by OMB Circular No. A-102 must be used for this program. Upon notification on Form AD-622 "Notice of Preapplication Review Action," that the applicant has been tentatively selected for funding under the preapplication project selection criteria, the applicant may submit an application on Form AD-623, "Application for Federal Assistance, (Nonconstruction Programs)" to the FmHA District Office. This program is subject to the provision of OMB Circular No. A-110.

**Award Procedure:** Award is made by the FmHA State Director following review and concurrence by the National Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Dates governing the acceptance, review and selection of project preapplications will be published annually in the Federal Register.

**Range of Approval/Disapproval Time:** Notice of action taken on preapplications will be generally within 60 days of final date of acceptance of preapplications.

**Appeals:** Applicants may request reconsideration on the basis of pertinent facts concerning his application within 30 days of notification of action taken on the preapplication or application.

**Renewals:** Applicants that have previously received a grant, and have achieved the goals established for the previous grant may reapply for an additional grant under the initial grant procedures.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Grants are made for a 24-month period. Checks are normally issued monthly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial and project performance reports are to be made to the FmHA District Office.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Grantees shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2062-0-1-371.

**Obligations:** (Grants) FY 81 $1,000,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** The grants made during fiscal year 1981 were in the amount of $72,700.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 13 grants were made for an amount of $72,700.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Part 1944-K, Section 1944.501 through 1944.550; FmHA Instruction 1944-K; Regulations, administrative instructions, as well as the notice of targeting of funds, maximum grant amount and maximum number of preapplications per State, were published in the January 27, 1981, edition of the Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult your local telephone directory for FmHA District Office number. If no listing, contact appropriate FmHA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Multiple Family Housing Loan Division, Farmers Home Administration, Department of Agriculture, Washington, DC 20250; Telephone: (202) 382-1604 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.405, Farm Labor Housing Loans and Grants; 10.410, Low to Moderate Income Housing Loans; 10.411, Rural Housing Site Loans; 10.415, Rural Rental Housing Loans; 10.417, Very Low-Income Housing Repair Loans and Grants; 10.420, Rural Self-Help Housing Technical Assistance; 10.427, Rural Rental Assistance Payments; 14.103, Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families; 14.105, Interest Reduction—Home for Lower Income Families; 14.108, Rehabilitation Mortgage Insurance; 14.121, Mortgage Insurance—Homes in Outlying Areas; 14.137, Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate; 14.156, Lower-Income Housing Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Projects must provide housing counseling and serve areas with a concentration of substandard housing and low-income and low-income minority families. In addition, the following criteria will be considered in the selection of grant recipients. (1) The extent to which the project serves areas with concentrations of FmHA single family housing loan borrowers who are delinquent in their housing loan payments and/or threatened with foreclosure; (2) The capability and past performance demonstrated by the applicant in administering its programs; (3) The effectiveness of the current efforts by the applicant to assist low-income families in obtaining adequate housing; (4) The extent to which the project will provide or increase the delivery of housing resources to low-income and low-income minority families in the area who are not currently occupying adequate housing; (5) The services the applicant will provide that are not presently available to assist low-income families in obtaining or maintaining occupancy of adequate housing and the extent of duplication of technical and supervisory assistance activities currently provided for low-income families; (6) The extent of citizen and local government participation and involvement in the development of the preapplication and project; (7) The extent of planned coordination with other Federal, State, or local technical and/or supervisory assistance programs; (8) The extent to which the project will make use of other financial and contributions-in-kind resources for both technical and supervisory assistance and housing development and supporting facilities; (9) The extent to which the project will be cost effective, including but not limited to the ratio of personnel to be hired by the applicant to the cost of the project, the cost, both direct and indirect, per person benefiting from the project, and the expected benefits to low-income families from the project; (10) The extent to which the proposed staff and salary ranges, including qualifications, experience, proposed hiring schedule, and availability of any prospective employees, will meet the objectives of the proposed program; (11) The anticipated capacity of the applicant to implement the proposed time schedule for starting and completing the program and each phase thereof; and (12) The adequacy of the records and practices, including personnel procedures and practices, that will be established and maintained by the applicant during the term of the agreement. Among the projects sponsored by private nonprofit applicants, preference will be given to those which have a commitment of financial and/or technical assistance to apply for and implement the technical and supervisory assistance program from a State, county, municipality or other governmental entity or public body.

# FEDERAL CROP INSURANCE CORPORATION

## 10.450 CROP INSURANCE

**FEDERAL AGENCY:** FEDERAL CROP INSURANCE CORPORATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Federal Crop Insurance Act, as amended; 7 U.S.C. 1501-1520. Title V of the Agricultural Adjustment Act of 1938; 52 Stat. 31; and Federal Crop Insurance Act of 1980, Public Law 96-365 (Sept 26, 1980), 94 Stat. 1312-1319.

**OBJECTIVES:** To improve economic stability of agriculture through a sound system of crop insurance by providing all-risk insurance for individual farmers to assure a basic income against droughts, freezes, insects, and other natural causes of disastrous crop losses.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** For the purpose of encouraging the broadest possible participation in the insurance program, 30 percent of each producer's premium as calculated by the corporation on any coverage under the coporation's and reinsured companies' policies of insurance of up to a maximum of 65 percent of the recorded or appraised yield, as adjusted, shall be paid by the corporation in accordance with Public Law 96-365. Insurance is available on crops in 3,000 agricultural counties in 49 States. Producers are not indemnified for losses resulting from negligence or failure to observe good farming practices. Insurance is offered on the following crops: almonds, apples, barley, beans, citrus, combined crops, corn, cotton, flax, forage, grain sorghum, grapes, oats, oranges, peaches, peanuts, peas, potatoes, raisins, rice, rye, soybeans, sugar beets, sugarcane, sunflowers, sweetcorn, tobacco, tomatoes, wheat.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any owner or operator of farmland, who has an insurable interest in a crop in a county where insurance is offered on that crop, is eligible.

**Beneficiary Eligibility:** Any insured producer who suffers a loss below the guarantee level for the particular crop insured.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Form FCI-12, Application for Federal Crop Insurance for 1982 and Succeeding Crop Years, must be filed with an FCIC representative.

**Award Procedure:** The insurance contract becomes effective upon issuance of a Notice of Acceptance by the Corporation. Notices of Acceptance for insurance coverage are issued by the Corporation's Kansas City Office upon a determination that the applicant is eligible. Applications are also reviewed and accepted by reinsured companies.

**Deadlines:** Application must be filed before the normal planting date for the crop involved.

**Range of Approval/Disapproval Time:** 15 to 20 days.

**Appeals:** Not applicable.

**Renewals:** Continuous insurance contract.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula nor matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Form FCI-819, Crop Insurance Acreage Report; Form FCI-8, Notice of Damage or Loss, if applicable; Form FCI-63, Claim for Indemnity.

**Audits:** Recipients are subject to audit by Office of the Inspector General, USDA.

**Records:** Insured must keep for 2 years, after time of loss, records of harvesting, shipments, sale or other disposition of all insured crop produced on each unit covered by the contract and separate records for any uninsured acreage of the insured crop.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4085-0-3-351; 12-2707-0-1-351.

**Obligations:** (Total indeminities) FY 81 $356,409,070; FY 82 est $309,311,000; and FY 83 est $306,000,000. (Premium subsidity to farmers thru reinsured companies) FY 81 Not identifiable; FY 82 est $950,000; FY 83 est $53,917,000.

**Range and Average of Financial Assistance:** $1 to $250,000; $750.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the Corporation had 218,354 producers insuring 329,045 crops, for total insurance protection of $3,018,320,000. The Corporation estimates for fiscal year 1982, thru direct writings and reinsured companies are 323,913 producers insuring 493,000 crops for total insurance protection of $6,000,000,000. For fiscal year 1983, the Corporation estimates 750,000 producers, insuring 1,100,000 crops for total insurance protection of $11,000,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 401-413. "Inside Look At All Risk Crop/Insurance", no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Interested producers should contact their Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Chairman, Federal Crop Insurance Corporation, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-6795 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.404, Emergency Loans; 15.601, Animal Damage Control; 83.100, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.475 COOPERATIVE AGREEMENTS WITH STATES FOR INTRASTATE MEAT AND POULTRY INSPECTION

### (Meat and Poultry Inspection State Programs)

**FEDERAL AGENCY:** FOOD SAFETY AND INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Federal Meat Inspector Act; Public Law 90-201; 21 U.S.C. 601-624, 641-645; 661; 671-680; Federal-State Cooperative Act (Talmadge-Aiken); Public Law 87-718; 7 U.S.C. 450; Poultry Products Inspection Act; Public Law 90-492; 21 U.S.C. 451-469.

**OBJECTIVES:** To supply Federal assistance to States desiring to maintain their meat and poultry inspection programs in order to assure the consumer an adequate supply of safe, wholesome and properly labeled meat and poultry.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** To assist States that have enacted State meat and poultry inspection laws in developing and administering programs. State must have laws comparable to those governing Federal meat and poultry inspection.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An appropriate State or U.S. Territory agency administering State or Territorial meat or poultry inspection programs under laws comparable to the Federal Meat and Poultry Products Inspection Acts.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Receipt of State inspection mandatory laws, copies of regulations related to the laws, and State improvement plans. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular NO. A-102 must be used for this program.

**Application Procedure:** Notify the Director of the applicable Meat and Poultry Inspection Regional Office of interest and request copies of the cooperative agreements.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal funds for any year shall not exceed 50 percent of the estimated total costs of the cooperative program, and the Federal funds shall be allocated equitably among the States desiring to cooperate.

**Length and Time Phasing of Assistance:** There is a 1 year limitation for funds awarded in this program. Grants are awarded on monthly basis to States.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Applicant will keep a complete accounting of the cost of developing and operating the State inspection program and will submit an itemized statement monthly to the Food Safety and Quality Service.

**Audits:** State will arrange for an audit of the records pertaining to these agreements by the State auditor of public accounts, annually or otherwise, as provided by applicable State law or regulations.

**Records:** Complete accounting records shall be available to the Comptroller General of the United States and to the authorized representatives of the Secretary of Agriculture.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3700-0-1-554.

**Obligations:** (Cooperative Agreements) FY 81 $30,960,466; FY 82 est $30,099,000; and FY 83 est $32,205,000.

**Range and Average of Financial Assistance:** For fiscal year 1981 - $120,000 to $3,343,000; $1,032,000.

**PROGRAM ACCOMPLISHMENTS:** On September 30, 1981, 29 States were cooperating under the Federal Meat Inspection Act and 25 States were cooperating under the Poultry Products Inspection Act.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Procedures for State Government Agencies Participating in Federal State Cooperative Meat and Poultry Inspection programs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for a list of addresses of the Regional Offices.

**Headquarters Office:** Executive Officer, Meat and Poultry Inspection Program, Food Safety and Inspection Service, Department of Agriculture, Washington, DC 20250. Contact: L.G. Skufe. Telephone: (202) 447-5261 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.800, Livestock and Poultry Market Supervision; 10.477, Meat and Poultry Inspection.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.477 MEAT AND POULTRY INSPECTION

**FEDERAL AGENCY:** FOOD SAFETY AND INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Federal Meat Inspection Act; Public Law 90-201; 21 U.S.C. 601-624, 641-645; 661; 671-680; Poultry Products Inspection Act; Public Law 90-492; 21 U.S.C. 451-469; Humane Slaughter Act; Public Law 85-765; 7 U.S.C. 1901-1906.

**OBJECTIVES:** To assure that all meat and poultry and their products produced in plants and shipped in commerce are federally inspected for safety wholesomeness, and proper labeling.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Any meat or poultry plant located within the United States or its Territories engaged in slaughtering or processing meat and poultry products for shipment in commerce is required to have Federal inspection. The Department of Agriculture is reimbursed for overtime inspection services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any meat or poultry plant planning to engage in slaughtering or processing meat and poultry products for shipment in commerce. This program is available in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A request for inspection should be submitted to the Meat and Poultry Inspection Regional Office, or to the Administrator.

**Award Procedure:** Certification is made that the applicant meets the Department's sanitation standards for plant facilities and equipment.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3700-0-1-554; 12-8137-0-7-352.

**Obligations:** (Salaries and expenses) FY 81 $266,470,174; FY 82 est $278,129,000; and FY 83 est $287,671,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 7,155 establishments were afforded inspection services.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Meat and Poultry Inspection Regulations, May 1973; MPI-7, Meat and Poultry Inspection Manual; Agriculture Handbook No.191, U.S. Inspected Meatpacking Plants; 9 CFR 301.1-335.3, Meat Inspection Regulations; 9 CFR 381.1-381.225, Poultry Products Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for a list of addresses of the Regional Offices.

**Headquarters Office:** Executive Officer, Meat and Poultry Inspection Program, Food Safety and Inspection Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-5261 (Use same 7-digit number for FTS). Contact: L.G. Skufe.

**RELATED PROGRAMS:** 10.800, Livestock and Poultry Market Supervision; 10.475, Cooperative Agreements with States for Intrastate Meat and Poultry Inspection.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.500 COOPERATIVE EXTENSION SERVICE

**FEDERAL AGENCY:** EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Smith-Lever Act as amended, 7 U.S.C. 341-349; District of Columbia Public Postsecondary Education Reorganization Act, D.C. code 31-1718; 7 U.S.C. 3004, Food and Agriculture Act of 1977, Renewable Resources Extension Act of 1978, Public Law 95-306;, Public Law 95-113, section 1361(c) of the Act Oct 3, 1980 (7 U.S.C. 301n); Public Law 97-98; Agriculture and Food Act of 1981, Sec. 1401.

**OBJECTIVES:** To provide educational programs based upon local needs in the broad fields of (1) agricultural production and marketing, (2) rural development, (3) home economics, and (4) youth development.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are made to land-grant institutions which, through State and county extension service personnel, provide educational and technical assistance to (1) farmers, producers, and marketing firms on how to apply new technical developments emanating from agricultural research; (2) community organizations to develop natural, economic, and human resources; (3) homemakers and youth in the areas of food and nutrition, home management, family economics, child development, and parent education; and (4) 4-H youth in the areas of leadership development and career guidance through work projects, demonstration projects, camping, and achievement programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** By law, grants are made to the designated land-grant institutions in the 50 States and Puerto Rico, Guam, the Virgin Islands and the District of Columbia, and are administered by the Director of the State Extension Service and the Administrator - 1890 and Tuskegee Extension Programs. The program is being expanded to include American Samoa and Micronesia beginning in 1981. State and local governments, other organizations, and individuals are not eligible for these grants.

**Beneficiary Eligibility:** Programs of State and county extension services are available to the general public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** County extension services prepare plan of work and forward to State Extension Service. State Extension Service prepares State plans of work and budgets and forwards to Extension Service USDA. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants are made to State land-grant institutions basically on a formula basis for approved projects. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State plans of work are sent to the Extension Service in August each fiscal year.

**Range of Approval/Disapproval Time:** Plans of work are approved or returned for revision or additional information within 30 days after receipt.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Smith-Lever funds are distributed to States using the following fund allocation statistical factors: (1) the basis of farm and rural population and (2) the number of people below poverty level and the source is the last preceding decennial census at the time an additional amount is first appropriated. These funds are matched as required by Congress through the appropriation process. Currently, the required matching on such funds is approximately 55 percent. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** This is a continuing program each year. Funds are made available through Letter of Credit procedures. States are permitted to carry over unexpended balances to the next year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial and statistical reports are furnished to the Extension Service USDA, by the State Extension Service.

**Audits:** Financial audits are made at State land-grant institutions generally on a 2 year cycle.

**Records:** Financial records on annual expenditures are maintained in accordance with university or State Extension Service regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-0502-0-1-352.

**Obligations:** (Grants) FY 81 $291,936,000; FY 82 est $315,702,000; and FY 83 est $311,911,000.

**Range and Average of Financial Assistance:** $543,586 to $16,339,348; $5,409,280.

**PROGRAM ACCOMPLISHMENTS:** At the end of fiscal year 1980, Extension was working with 272,000 families enrolled in the Expanded Food and Nutrition Program (EFNEP). Over 294,000 other families were contacted in the EFNEP program during the year. Extension played an active role in each of more than 2,500 State area and local rural development committees. Approximately five million youth were served through 4-H - youth development programs. In addition to the above contacts, over 100 million contacts were made with Extension clientele through educational programs related to agriculture and natural resources, community resource development, home economics and 4-H - youth.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Many different publications are available from State and county extension offices. Most are free, some are sold at nominal cost. In addition, Department of Agriculture publications may be obtained from the Extension Service, Department of Agriculture. Washington, DC 20250.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-3377 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.025, Plant and Animal Disease and Pest Control; 10.053, Dairy Indemnity Payments; 10.150, Agricultural Product Grading; 10.153, Market News; 10.154, Market Supervision and Assistance; 10.155, Marketing Agreements and Orders; 10.800, Livestock and Poultry Market Supervision; 10.250, Agricultural and Rural Economic Research; 10.413, Recreation Facility Loans; 10.414, Resource Conservation and Development Loans; 10.416, Soil and Water Loans; 10.477, Meat and Poultry Inspection; 10.652, Forestry Research; 10.001 Agricultural Research—Basic and Applied Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee Institute; 10.902, Soil and Water Conservation; 13.103, Food and Drug Administration—Research; 15.601, Animal Damage Control; 15.607, Environmental Contaminant Evaluation; 15.609, Wildlife Technical Assistance; 15.611, Wildlife Restoration; 15.917, Recreation—Technical Assistance; 23.009, Appalachian Local Development District Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.550 FOOD DISTRIBUTION
## (Food Donation Program)

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 32 of Public Law 320, 74th Congress, as amended, 7 U.S.C. 612c; Public Law 165, 75th Congress, 15 U.S.C. 713c; Sections 6, 9, and 17 of the National School Lunch Act, as amended, 42 U.S.C. 1755, 1758, 1766; Section 416 of the Agricultural Act of 1949, as amended, 7 U.S.C. 1431; Section 402 of the Mutual Security Act of 1954, as amended, 22 U.S.C. 1922; Section 210 of the Agricultural Act of 1956, 7 U.S.C. 1859; Section 9 of the Act of September 6, 1958, as amended, 7 U.S.C. 1431b; Act of September 13, 1960, as amended, 7 U.S.C. 1431 note; Section 709 of the Food and Agriculture Act of 1965, as amended, 7 U.S.C. 1446a-1; Section 13 of the National School Lunch Act, as amended, 42 U.S.C. 1761; Section 8 of the Child Nutrition Act of 1966, 42 U.S.C. 1777; Section 311 of the Older Americans Act of 1965, as amended, 42 U.S.C. 3030a; Section 604 of the Older Americans Act of 1965, as amended, 42 U.S.C. 3057c; Section 4(a) of the Agriculture and Consumer Protection Act of 1973 as amended, 7 U.S.C. 612c note; Section 14 of the National School Lunch Act as amended, 42 U.S.C. 1762a; Section 409 and 410 of Public Law 93-288, 42 U.S.C. 5179-5180. Section 6 of Public Law 95-166. 91 Stat. 1334, Section 10 of Public Law 95-166, 91 Stat. 1336, Section 12(b) of Public Law 95-627, 92 Stat. 3625; Section 211 of Public Law 96-494, 94 Stat. 2577; Section 202(c) of Public Law 96-499, 94 Stat. 2600.

**OBJECTIVES:** To improve the diets of school children; needy persons in households on or near Indian reservations or in the Trust Territory of the Pacific Island or the Commonwealth of the Northern Mariana Islands and in charitable institutions; and, other individuals in need of food assistance, and to increase the market for domestically produced foods acquired under surplus removal or price support operations.

**TYPES OF ASSISTANCE:** Formula Grants; Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Food is made available for distribution to qualifying households, individuals, child feeding programs, schools, charitable institutions, nutrition programs for the elderly, and nonprofit summer camps for children. Households and individuals may not be charged. Donated foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of the Department. FNS administrative funds must be expended to assist in meeting operating expenses incurred in administering food distribution programs for needy persons in households. These funds may not be used to purchase real property (land or buildings).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Such State, Trust Territory of the Pacific Islands Commonwealth of the Northern Mariana Islands and Federal agencies that are designated as distributing agencies by the Governor, legislature, or other authority may receive and distribute donated foods. Frequently different agencies are designated for the household program and for the school and institutional programs. The State distributing agency which administers the household program is eligible to receive Federal cash assistance (administrative funds) to assist in meeting operating expenses incurred in administering the needy family program. Indian tribal organizations may request to be their own State agency for administration of the needy family program on Indian reservations. Areas of the Trust Territory of the Pacific Islands and of the Commonwealth of the Northern Mariana Islands which desire the program for needy households or individuals must apply to the appropriate State agency for foods and funds. School and other child feeding programs are eligible but must meet detailed requirements concerning facilities, meal content, meal charges, etc. Charitable institutions are eligible to the extent they serve needy persons. All must apply to their responsible State distributing agency. Elderly nutrition programs that are funded under Title III of the Older Americans Act of 1965 must apply to their State Agency on Aging for commodities or cash in lieu thereof; elderly nutrition programs for Indians on reservations that are funded under Title VI of the Older Americans Act must apply to FNS Regional Offices for such assistance.

**Beneficiary Eligibility:** Families must live in an area on or near an Indian Reservation which has the program and must be certified by local welfare authorities as having inadequate income and resources. The family head may be employed, pensioned, striking, or unemployed. Upper limits of allowable income and resources vary with family size and among various states. All children in schools, child care institutions, and summer camps which participate in the program may benefit from food donations. Foods donated to charitable institutions (on the basis of needy persons served) and to nutrition programs for the elderly, may be used for the benefit of all served.

**Credentials/Documentation:** Individual households are individually certified by local welfare offices based on State eligibility standards. Cost of State administrative expenses will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** All states except Kansas now have distributing agencies-no applications necessary. Local governments, schools, other child nutrition, nonprofit summer camps for children, charitable institutions, and nutrition programs for the elderly must apply to State distributing agency on its forms. A State plan of operation is required for programs for individuals and agencies which must be forwarded to the Department for approval. Heads of households apply to local welfare authorities on forms supplied by State or local office. No application required for cash assistance (operating expense funds) in administering needy family food distribution program.

**Award Procedure:** Cash assistance is provided by the Department to State agency for use in household program operations. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None except that heads of households may appeal adverse or delayed decisions as the State plan provides.

**Renewals:** Program continues once approved unless withdrawal is requested or required because of program irregularities; households and individuals are recertified periodically.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable to food donations. Administrative expense funds for distribution to households are allocated on basis of need for funds. No matching funds required for Trust Territory and Commonwealth of the Northern Marianas but state agencies are expected to bear cost of program administration aside from the additional contribution made by the grants. For State agencies distributing to households on or near Indian Reservations is a 25 percent matching requirement, except with justification.

**Length and Time Phasing of Assistance:** Food donations continuous; cash assistance released quarterly by Treasury check or by Letter of Credit to Federal Reserve Banks. State distributing agency may withdraw funds as needed; unspent funds must be returned at end of fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Donated foods-monthly reports of quantities distributed, by type of recipient and the numbers of needy persons in households receiving foods. Cash assistance grants-monthly and quarterly reports of withdrawals, expenditures, and obligated funds.

**Audits:** Both types of assistance are reviewed annually by Regional Office and are subject to audit by Office of Inspector General, USDA. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Adequate to account for all receipts and dispositions; to be retained for 3 years following the close of the fiscal year.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4336-0-3-351; 12-5209-0-2-605; 12-3503-0-1-605; 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $1,033,410,000; FY 82 est $576,946,000; and FY 83 est $575,206,000 (Does not include bonus commodities estimate). (Formula grants) FY 81 $10,249,000; FY 82 est $10,600,000; and FY 83 est $11,220,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, over 1.8 billion pounds of food were purchased for distribution. Children in schools, child care and summer food service programs received 1.6 billion pounds; 77.7 million pounds were distributed to needy families and 143.9 million pounds were provided for charitable institutions, including nonprofit summer camps for children. The nutrition program for the elderly received 18.3 million pounds of food.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 250; 7 CFR 283.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Food Distribution Division, Food and Nutrition Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-8371 (Use same 7-digit number for FTS). Contact: Darrel Gray.

**RELATED PROGRAMS:** 10.551, Food Stamps; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Food Program for Women, Infants, and Children; 10.565, Commodity Supplemental Food Program; 13.600, Administration for Children, Youth and Families—Head Start; 13.635, Special programs For the Aging—Title III-Part C- Nutrition Services; 84.010, Educationally Deprived Children—Local Educational Agencies; 84.014, Follow Through.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.551 FOOD STAMPS

**FEDERAL AGENCY: FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE**

**AUTHORIZATION:** The Food Stamp Act of 1964; Public Law 88-525; 78 Stat. 703, 7 U.S.C. 2011-2026 (1964) as amended, Public Law 90-91; 81 Stat. 228; Public Law 90-552; 82 Stat. 958; Public Law 91-116; 83 Stat. 191; Public Law 91-671; 84 Stat. 2048; Public Law 92-603; 86 Stat. 1329; Public Law 93-86; 87 Stat. 247; Public Law 93-233; 87 Stat. 947; Public Law 93-335; 88 Stat. 291; Public Law 93-347; 88 Stat. 340; Public Law 93-563; 88 Stat. 1841; Public Law 94-44, 89 Stat. 235; Public Law 94-182, 89 Stat. 1056; Public Law 94-339, 90 Stat. 799; Public Law 94-365, 90 Stat. 990; Public Law 94-379, 90 Stat. 1111; Public Law 94-585, 90 Stat. 2901; Public Law 95-59, 91 Stat. 255; Public Law 95-97, 91 Stat. 825; Public Law 95-113, 91 Stat. 958; Public Law 95-348, 92 Stat. 487; Public Law 95-400, 92 Stat. 856; Public Law 95-458, 92 Stat. 1255; Public Law 96-58, 93 Stat. 389, Public Law 96-249, 94 Stat. 357, Public Law 96-243, 94 Stat. 345, Public Law 97-18, Public Law 97-35. Public Law 97-98, 95 Stat. 1282 (7 U.S.C. 2012).

**OBJECTIVES:** To improve diets of low-income households by supplementing their food purchasing ability.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Households receive a free coupon allotment which varies according to household size and which is reduced by 30 percent of net income. The coupons may be used in participating retail stores to buy any food for human consumption and garden seeds and plants to produce food for personal consumption of eligible households. In certain remote areas of Alaska, recipients may use food coupons to purchase hunting and fishing equipment for procurement of food excluding firearms, ammunition and other explosives. Food coupons may be used by certain elderly and handicapped persons and their spouses who cannot prepare their own meals to have meals delivered to them in their homes by authorized meal delivery services. Elderly persons and their spouses may also use food coupons to purchase meals in establishments providing communal dining for the elderly. Drug addicts and alcoholics who are participating in approved rehabilitation programs may use food coupons to purchase meals prepared under the program. Effective July 1, 1981, disabled or blind persons receiving benefits under Title II or Title XVI of the Social Security Act may use coupons to purchase meals prepared and served under certain group living arrangements. Effective January 7, 1982, residents of shelters for battered women and children may use food coupons to purchase meals prepared by shelters.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The State or U.S. Territory agency responsible for federally aided public assistance programs submits requests for the program to USDA's Food and Nutrition Service on behalf of local political subdivisions. Effective July 1, 1982, Puerto Rico will implement a Nutrition Assistance Grant Program in lieu of the Food Stamp Program.

**Beneficiary Eligibility:** Households may participate if they are found by local welfare officials to be in need of food assistance. Examples might include households who are receiving some form of welfare assistance, or are unemployed, part-time employed, working for low wages, or living on limited pensions. Eligibility is based on family size and income, and their level of resources. Able-bodied adults with certain exceptions, must meet a work registration requirement.

**Credentials/Documentation:** Households are individually certified by local welfare offices based on national eligibility standards, with verification as required by regulation. Governors (or their designated plan review agencies) must be given an opportunity to review the state plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The Food Stamp Act of 1977, as amended (Public Law 95-113) requires each State agency to submit to Food and Nutrition Service for approval, a Plan of Operation specifying the manner in which the Food Stamp Program would be conducted in every political subdivision within the State.

**Award Procedure:** The Secretary of Agriculture designates each State agency to operate the program upon submittal of the request.

**Deadlines:** The authority to continue the Food Stamp Program has been extended through September 30, 1981.

**Range of Approval/Disapproval Time:** Full implementation of the nationwide mandate was completed in fiscal year 1975, except for certain Indian reservations which may continue in the Food Distribution Program through 1981.

**Appeals:** Each State agency is required to provide any aggrieved household with a fair hearing.

**Renewals:** Program continues once approved unless there is a substantial failure to comply with regulations or withdrawal on the part of the State.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Department of Agriculture pays 100 percent of the cost of benefits. The statistical factors used for fund allocation are: 1. Cost of the Thrifty Food Plan and the source is "ERS" and 2. CPI (national except for territories outside continental United States and the source is "BLS" (CPI for urban wage earners and clerical workers semiannually.) The statistical factor used for eligibility is : 1. nonfarm poverty income guidelines and the source is "OMB poverty guidelines" (modified).

**Length and Time Phasing of Assistance:** Length of assistance period varies and time phasing is not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly report of coupons with a summary of inventory of coupons on hand; monthly and quarterly report on the number of households and persons receiving aid; monthly and semi-annual quality control reports; quarterly financial status report; cumulative totals for the fiscal year and whether reductions or increases may be necessary.

**Audits:** Projects and recipients are subject to audit by Office of Inspector General, USDA.

**Records:** Records of households certified, coupons issued, and records relating to any financial transaction, are required and must be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3505-0-1-605.

**Obligations:** (Direct payments to individuals) FY 81 $10,677,006,000; FY 82 est $10,347,350,000; and FY 83 est $8,918,000,000.

**Range and Average of Financial Assistance:** Varies by income and family size. Expected to average approximately $39.24 per month per person in fiscal year 1982, and $41.89 in fiscal year 1983, and $41.89 in fiscal year 1983.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, every area in every State operated a food stamp program. Participation per month averaged 22.4 million persons.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Procedures and pamphlets available from regional offices, no charge: "Characteristics of Food Stamp Households, September 1976, and February 1978, "FNS-168; "How to Apply for and Use Food Stamps, "PA-1226; "Building a Better Diet," PA-1241; "Food Stamp Program - Cashier Training Manual," PA-1176; "Food Stamp Program - A Guide for Retailers," PA-1221 (English), PA-1221-S (Spanish); "Guide for Law Enforcement and Regulatory Agencies," PA-1181 (English), PA-1181-S (Spanish); "Official Food List," FNS-110 (English), FNS-110-S (Spanish), FNS-110-A (for Alaska), FNS-110-C (Chinese), FNS-110-K (Korean), FNS-110-V (Vietnamese); "We accept Food Stamps," FNS-132 (English), FNS-132-S (Spanish); "Cash Register Stickers," FNS-135 (English), FNS-135-S (Spanish); "Tips for Cashiers," FNS-136 (English/Spanish), FNS-136-K (Korean), FNS-136-V (Vietnamese); "Tips for Tellers," FNS-144; "We accept Food Stamps (newspaper slicks)," FNS-146; "Tips for Wholesalers," FNS-187 (English/Spanish); "Tips for Nonprofit Communal Dining Facilities, "FNS-220; "Tips for Restaurants Serving as Communal Dining Facilities," FNS-221.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Administrator, Family Nutrition Programs, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302 Telephone: (703) 756-3024 (Use same 7-digit number for FTS). Contact: Christopher Martin, Acting Deputy Administrator for Family Nutrition Programs.

**RELATED PROGRAMS:** 10.550, Food Distribution.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.553 SCHOOL BREAKFAST PROGRAM

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 4 of the Child Nutrition Act of 1966 as amended; Public Law 89-642; 80 Stat. 886 U.S.C. 1773; Public Law 89-642; 80 Stat. 886; 42 U.S.C. 1773; Public Law 90-302; 82 Stat. 119; 42 U.S.C. 1773; Public Law 91-248, 84 Stat. 214, 42 U.S.C. 1773; Public Law 92-32; 85 Stat. 85; 42 U.S.C. 1773; Public Law 92-433; 86 Stat. 724; Public Law 94-105; 89 Stat. 511; Public Law 95-166, 91 Stat. 1337; Public Law 95-627, 92 Stat. 3620; Public Law 96-499, 94 Stat. 2599; Public Law 97-35.

**OBJECTIVES:** To assist states in providing nutritious breakfasts for school children, through cash grants and food donations.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Federally appropriated school breakfast program funds are available to reimburse participating public and nonprofit private schools, of high school grade or under, for breakfasts, meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. Participating schools are reimbursed at rates not less than those shown in the Formula and Matching Requirements Section. The rates of reimbursement are adjusted on an annual basis to reflect changes in the series of food away from home of the Consumer Price Index. For the period through June 30, 1982, the rates of reimbursement are 8.25 cents for all breakfasts, an additional 19.25 cents for each reduced price breakfast, and an additional 48.75 cents for each free breakfast. In cases of severe need, a payment of up to 38.50 cents and 68.50 cents may be made for each breakfast served to children qualifying respectively for a reduced price and a free breakfast. All participating schools must agree to supply free and reduced price meals to eligible children, and to operate the program on a nonprofit basis for all children without regard to race, color, national origin, or the ability to pay.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and U.S. Territory agencies or private schools whose average annual tuition does not exceed $1,500 and residential child care institutions (except Job Corps Center) which are exempt from income tax under the Internal Revenue Code. Schools desiring to participate must agree to operate a nonprofit breakfast program which is available to all children regardless of race, color, creed or national origin.

**Beneficiary Eligibility:** All children attending schools in which the breakfast program is operating may participate. Breakfast is served free or at a reduced price to children who are determined by local school authorities to be unable to pay the full price. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross-reference family income with family size. The Secretary revises these income eligibility guidelines each July 1; the statistical source used in making such revisions is the OMB Nonfarm Income Poverty Guidelines.

**Credentials/Documentation:** Applicants must furnish evidence of nonprofit status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The application forms as furnished by the State agency or FNS, as applicable, must be used for this program.

**Application Procedure:** Public schools in all states make application to the State Educational Agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State Educational Agency. In some states, however, the State Educational Agency is prohibited by State statute from disbursing Federal funds to nonprofit private schools. In such instances, the application will be referred to the appropriate Food and Nutrition Service regional office. This program in private schools is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** When application is approved, school makes agreement with appropriate agency on a fiscal year basis. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Federal-State agreement must be signed by October 1.

**Range of Approval/Disapproval Time:** Agreements are effective upon approval of the State Educational Agency or Food and Nutrition Service, regional office where applicable, and are effective until the following September 30.

**Appeals:** State Educational Agencies or Food and Nutrition Service regional offices, where applicable, are responsible for determining a school's eligibility.

**Renewals:** Annually as of October 1.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal funds are made available for breakfast assistance in accordance with Section 4 of the Child Nutrition Act on a performance basis by (1) multiplying the number of all breakfasts served during the fiscal year by a national average payment (NAP), (2) multiplying the number of breakfasts served free to eligible children by a national average payment prescribed by the Secretary for free breakfasts; and multiplying the number of reduced price breakfasts served to eligible children by a NAP prescribed by the Secretary for reduced-priced breakfasts. The amount of Federal funds due the grantee is the sum of the products obtained from these three computations. The statistical factors used in this formula are: (1) the NAP's, and (2) the total number of breakfasts served to eligible children, and (3) the number of such breakfasts served free or at reduced price. The NAP's are prescribed by the Secretary and adjusted each July 1 in accordance with the Consumer Price Index for all Urban Consumers; the source of this adjustment factor is the Bureau of Labor Statistics. The source of the numbers of breakfasts served, including the number served free or at reduced price, is the programmatic reports submitted to FNS and described under "Post Assistance Requirements." This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:** For the period covered by the agreement. Fiscal year basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State Agencies, schools and institutions file monthly reports on program operation to claim for reimbursement.

**Audits:** Final reports on program operations and cash disbursed to shcools must be received by FNS 150 days after the close of the fiscal year to which they pertain. Programs are subject to biennial audits as required by OMB Circular No. 102, to assure proper utilization of program funds.

**Records:** Schools must maintain full and accurate records of its breakfast program. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $319,100,000; FY 82 est $335,000,000; and FY 83 est $383,800,000.

**Range and Average of Financial Assistance:** Average Federal cash assistance for fiscal year 1981 was 48.8 cents per meal; estimated for fiscal year 1982 is 49.6 cents.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 654 million breakfasts were served. In fiscal year 1982, an estimated 675 million breakfasts will be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Child Nutrition Programs", PA-948, pamphlet, no charge; Regulations-7 CFR Part 220-School Breakfast Program regulations, Part 245 - Determining Eligibility for Free and Reduced Price Meals and Free Milk in Schools.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director, School Programs Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 756-3590 (Use same 7-digit number for FTS). Contact: Samuel P. Bauer.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Food Program for Women, Infants, and Children; 10.558, Child Care Food Program; 10.559, Summer Food Service Program for Children; 84.010, Educationally Deprived Children—Local Educational Agencies; 84.014, Follow Through.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.555 NATIONAL SCHOOL LUNCH PROGRAM
## (School Lunch Program)

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** National School Lunch Act of 1946 as amended; Public Law 89-642; 80 Stat. 884 U.S.C. 1773; Public Law 79-396; 60 Stat. 230; 42 U.S.C. 1751; Public Law 87-823, 76 Stat. 944; 42 U.S.C. 1752; Public Law 91-248, 84 Stat. 208, 42 U.S.C. 1752; Public Law 92-153; 85 Stat. 419,420; 42 U.S.C. 1753; Public Law 92-433, 86 Stat. 726; Public Law 93-150; 87 Stat. 560-564; Public Law 93-326; 88 Stat. 286-287; Public Law 94-105; 89 Stat. 512-515; Public Law 95-166, 91 Stat. 1325-1346; Public Law 95-627 92 Stat. 3603-3626; Public Law 96-499, 94 Stat. 2599; Public Law 97-35.

**OBJECTIVES:** To assist states, through cash grants and food donations, in making the school lunch program available to school children.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Federally appropriated national school lunch program funds are available to reimburse participating public and nonprofit private schools, of high school grade or under, including residential child care institutions, for lunches meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. Participating schools are reimbursed at rates prescribed by states. The rates of reimbursement are adjusted on an annual basis to reflect changes in the series of food away from home of the Consumer Price Index. For the period Septmeber 1, 1981, through June 30, 1982, the rates of reimbursement are 10.50 cents general cash assistance for all lunches, an additional 58.75 cents for each reduced price lunch, and an additional 98.75 cents special cash assistance for free lunch. Schools that served 60 percent or more free or reduced price lunches in the second preceeding school year receive an additional 2 cents general cash assistance for all lunches served. In addition to cash reimbursement, the national average value of donated commodities for each lunch is 11.00 cents until June 30, 1982. All participating schools must agree to supply free and reduced price meals to eligible children.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and U.S. Territory agencies and private schools (whose average annual tuition does not exceed $1,500) and residential child care centers, (except Job Corps Centers) and settlement houses which are exempt from income tax under the Internal Revenue Code, as amended. Schools desiring to participate must agree to operate a nonprofit lunch program which is available to all children regardless of race, color, creed, or national origin.

**Beneficiary Eligibility:** All children attending schools in which the lunch program is operating may participate. Lunch is served free or at a reduced price to children who are determined by local school authorities to be unable to pay the full price. Such determinations are made in accordance with income eligibility guidelines, which are prescribed by the Secretary and cross-reference family income with family size. The Secretary revises these income eligibility guidelines each July 1; the statistical source used in making such revisions is the OMB Nonfarm Income Poverty Guidelines.

**Credentials/Documentation:** Applicants must furnish evidence of nonprofit status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The application forms as furnished by FNS or the State agency, as applicable must be used for this program.

**Application Procedure:** Public schools in all states make application to the State Educational Agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State Educational Agency. In some states, however, the State Educational Agency is prohibited by State statute from disbursing Federal funds to nonprofit private schools. In such instances, the application will be referred to the appropriate Food and Nutrition Service regional office. This program in nonpublic schools is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Selection of schools for participation in the program shall be in accordance with the following: (1) schools shall be selected for participation in the general cash for food assistance phase of the program on the basis of need and attendance; (2)

schools shall be selected for participation in the special cash assistance phase of the program on the basis of the need of such schools for assistance in the serving of free or reduced price lunches to children unable to pay the full price of the lunch. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Federal-State Agreement must be signed by October 1.

**Range of Approval/Disapproval Time:** Agreements are effective upon approval by the State educational agency or FNSRO, where applicable, and are effective until the following September 30.

**Appeals:** None. State Educational Agencies and FNSRO's, where applicable, are responsible for determining a school's eligibility.

**Renewals:** Annually as of October 1.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The funding formula for the general cash-for-food assistance phase of the program is set forth in Section 4 of the National School Lunch Act, as amended, the formula for special cash assistance is described in Section 11 of the Act. Both phases of the program are funded on a performance basis. For every lunch served during the applicable fiscal year, the State receives a payment from funds made available under Section 4. In addition, the State receives a payment from Section 11 funds for each lunch served to a child eligible for free or reduced-price lunches. The amounts of such per-lunch payments are determined by "National Average Payment" (NAP) factors. The amount due the State under this program is obtained by: (1) multiplying the total number of eligible lunches served during the fiscal year by the Section 4 NAP factor; (2) multiplying the number of free lunches served by the Section 11 NAP factor for free lunches; (3) multiplying the number of lunches served at reduced price by the Section 11 NAP factor for reduced-price lunches; and (4) adding together the three products obtained thereby. The NAP factors are prescribed by the Secretary in accordance with Sections 4 and 11, respectively, of the Act; the numbers of lunches are obtained from programmatic reports submitted to FNS. Section 11 of the Act requires that the NAP factors be adjusted annually according to changes in the Consumer Price Index for All Urban Consumers; the source is the Bureau of Labor Statistics. Beginning with the 1981-82 school year (school year being defined as the period July 1 through June 30), each State must appropriate from State revenues and use for program purposes an amount equal to 30 percent of the Section 4 funds made available to the State in the 1980-81 school year. Also effective for the 1981-1982 school year, commodity only schools are now eligible to receive donated commodities equal in value to the sum of section 6 and section 4, except that up to 5 cents of this amount may be received in cash for processing and handling commodities. Commodity only schools are now eligible for free and reduced price lunches as well.

**Length and Time Phasing of Assistance:** For the period covered by the agreement. Fiscal year basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State agencies and schools file monthly reports on program operation to establish their entitlement to program funds. States must submit reports on disbursements to schools. Obligations must be liquidated and final report submitted within 150 days after end of fiscal year to which they pertain.

**Audits:** School food authorities must obtain biennial audits as required by OMB Circular A-102, to assure proper utilization of program funds.

**Records:** Schools must maintain full and accurate records of their lunch programs. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $2,364,575,000; FY 82 est $2,045,367,000; and FY 83 est $2,229,500,000.

**Range and Average of Financial Assistance:** Average assistance per meal for fiscal year 1981 was 17.6 cents cash and 14.2 cents in food. Special assistance to needy children was averaged 78.1 cents per meal. Estimates for fiscal year 1982 are 11.3 cents cash and 11.1 cents food. Special assistance to needy children is estimated at 93.4 cents per meal.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 4,288 million lunches were served. Of these, 1,745 million were served free or at reduced prices to needy children.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Part 210 - National School Lunch Program regulations (35 F.R. 753, as amended); Part 245 - Determining Eligibility for Free and Reduced Price Meals and Free Milk in Schools (35 F.R. 14065).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director, School Programs Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 756-3590 (Use same 7-digit number for FTS). Contact: Samuel P. Bauer.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.553, School Breakfast Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Food Program for Women, Infants, and Children; 10.558, Child Care Food Program; 10.559, Summer Food Service Program for Children; 23.013, Appalachian Child Development; 84.010, Educationally Deprived Children—Local Educational Agencies; 84.014, Follow Through.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.556 SPECIAL MILK PROGRAM FOR CHILDREN

### (School Milk Program)

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Child Nutrition Act of 1966, as amended; Public Law 89-642, 80 Stat. 885, U.S.C. 1773; Public Law 93-150; 87 Stat. 563; 42 U.S.C. 1772; Public Law 93-347; 88 Stat. 341; Public Law 94-105; 89 Stat. 522; Public Law 95-166, 91 Stat. 1325; Public Law 95-627, 92 Stat. 3619; Public Law 96-499, 94 Stat. 2599; Public Law 97-35, 95 Stat. 527.

**OBJECTIVES:** To encourage the consumption of fluid milk by children of high school grade and under through subsidies to eligible schools and institutions.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds are made available to State agencies to encourage the consumption of fluid milk by children in nonprofit schools of high school grade and under and nonprofit nursery schools, child care centers (except Job Corps Centers), settlement houses, summer camps, and similar nonprofit institutions devoted to the care and training of children, provided that these schools do not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. Private schools whose average yearly tution exceeds $1,500 per child are ineligible to participate. Disbursement to States is made on the basis of the number of half pints of milk served, using a reimbursement rate specified by law, milk served free to eligible children is the option of the school (or district) involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State or U.S. Territory agency or nonprofit private school or child care institution of high school grade or under, except Job Corps Centers and private schools whose average yearly tuition exceeds $1,500 per child (does not include monies paid by State, country or local authorities for educating handicapped or other special-needs children), may participate in the Special Milk Program upon request if it does not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. This generally includes nonprofit nursery schools, child care centers, settlement houses and summer camps. All schools and child care institutions which participate must agree to operate the program on a nonprofit basis for all children without regard to race, color or national origin.

**Beneficiary Eligibility:** All children attending schools and institutions in which the Special Milk Program is in operation may participate in the program.

**Credentials/Documentation:** Applicant must furnish evidence of nonprofit status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the State agency or FNS, as applicable must be used for this program.

**Application Procedure:** Public schools in all states make application to the State educational agency. Appropriate forms may be obtained from this agency. Nonprofit private schools and institutions should also apply to the State educational agency. However, in some states, the State educational agency is prohibited by State statute from disbursing Federal funds to nonprofit private schools and institutions. In such instances, the application will be referred to the appropriate Food and Nutrition Service regional office. This program in private schools is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** State agency or Food and Nutrition Service regional office, where applicable, reviews written application of school or child care institution and upon determination of eligibility takes written agreement with sponsor for participation in the program. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Federal-State agreement must be signed by October 1.

**Range of Approval/Disapproval Time:** Agreements are effective upon approval of the State educational agency or Food and Nutrition Service, where applicable, and are effective until the following September 30.

**Appeals:** None. State educational agencies or Food and Nutrition Service regional offices, where applicable, are responsible for determining eligibility of a school or institution.

**Renewals:** Annually as of October 1.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The reimbursement rate for each paid half pint of milk served in schools and institutions that participate in the Special Milk Program during school year 1981-82 is 9 cents. This rate will be adjusted each school year to correspond to the change in the Producer Price Index for Fresh Processed Milk and the source is Monthly Labor Review, Bureau of Labor Statistics. The statistical factor used for beneficiary eligibility for free milk is the poverty level and the source is the OMB non-farm income poverty guidelines. In no event may the rate exceed the cost of milk to the school or institution; Each half-pint of milk served free to eligible children is reimbursed at full cost. There is no matching requirement, but the cost of paid milk in excess of the Federal reimbursement must be borne by sources within the States 7 CFR Part 215. Disbursement to States is made on the basis of the number of half pints served to children not eligible for free milk multiplied by $ .09, plus the number of half pints served to children eligible for free milk multiplied by the actual cost of milk. This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:** For the period covered by agreement. Fiscal year basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State agencies, schools and institutions file monthly reports on program operation to claim for reimbursement. States must submit final reports on program operations and cash disbursements to schools not later than 150 days after the close of the fiscal year to which they pertain.

**Audits:** School food authorities and institutions must obtain biennial audits as required by OMB Circular No. A-102 to assure proper utilization of program funds.

**Records:** Schools and institutions must maintain full and accurate records of its Special Milk Program operations. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3502-0-1-605.

**Obligations:** (Grants) FY 81 $119,803,000; FY 82 est $28,100,000; and FY 83 est $28,600,000.

**Range and Average of Financial Assistance:** For fiscal year 1981, average Federal assistance was 15.7 cents for each half-pint of milk; in fiscal year 1982 it is estimated at 16.5 cents.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1.6 billion half-pints of milk were served; in fiscal year 1982, 278.4 million are estimated to be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Part 215- Special Milk Program for Children regulations Part 245-Determining Eligibility of Free and Reduced Price Meals and Free Milk in Schools.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director, School Programs Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 756-3590 (Use same 7-digit numbers for FTS). Contact: Samuel P. Bauer.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.557, Special Supplemental Food Program for Women, Infants, and Children; 10.558, Child Care Food Program; 10.559, Summer Food Service Program for Children; 84.010, Educationally Deprived Children—Local Educational Agencies; 84.014, Follow Through.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.557 SPECIAL SUPPLEMENTAL FOOD PROGRAM FOR WOMEN, INFANTS, AND CHILDREN

### (WIC Program)

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Child Nutrition Act of 1966, as amended, 42 U.S.C. 1771 et seq; Public Law 92-433; Section 17 of Child Nutrition Act of 1966, as amended; 86 Stat. 729; Public Law 94-105; Section 17 of the Child Nutrition Act of 1966, as amended; 89 Stat. 518; Public Law 95-627, 92 Stat. 3611 et. seq.; and extended by omnibus Reconciliation Act of 1980; Public Law 96-499, Section 203(d), 94 Stat. 2601.

**OBJECTIVES:** To supply supplemental nutritious foods and nutrition education as an adjunct to good health care to low income participants identified to be at nutritional risk with respect to their physical and mental health by reason of inadequate nutrition or health care, or both.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are made to State health or comparable agencies, Indian tribes, bands, or intertribal councils, or groups recognized by the Department of the Interior, or the Indian Health Service of the Department of Health, and Human Services in order to make supplemental foods available to pregnant, postpartum and breastfeeding women, infants, and children up to five years of age through local public or nonprofit private health or welfare agencies. Funds must be expended to purchase supplemental foods for participants or to redeem vouchers issued for that purpose. Twenty percent of the total Federal funds provided may be used for State and local agency administrative costs. State and local agencies are provided administrative funds according to formulas determined by FNS. Only local agencies qualifying under State agency applications may operate WIC programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A local agency is eligible to apply to participate in the WIC program provided: (a) it gives health services free or at reduced cost or can arrange for such service to be provided to residents of low-income areas; (b) it serves a population of women, infants, and children at nutritional risk; (c) it has the personnel, expertise, and equipment to perform measurements, tests, and data collection specified for the WIC program or can arrange for such services (d) it maintains or is able to maintain adequate medical records; and (e) it is a public or private nonprofit health or welfare agency. All applicants must apply through the responsible State or U.S. Territory agency.

**Beneficiary Eligibility:** Pregnant, postpartum or breastfeeding women, infants, and children up to 5 years of age shall be eligible if they are determined by a competent professional on the staff of the local agency to be in need of the special supplemental foods supplied by the program, because of nutritional risk, and they have a family income which meets a level set by the State agency, which complies with standards set by USDA.

**Credentials/Documentation:** Individuals are certified as meeting an income standard. Certification regarding nutritional need for supplemental foods is determined by professionals on staff of local health facility. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agency) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application is made through submission of a State Plan of Program Operation and Administration as required by the Federal agency.

**Application Procedure:** Local agencies must apply to the State health agency in writing. The State or U.S. Territory agency must notify the local agency of the status of the application within 30 days of receipt. Individual participants apply for WIC benefits at the approved local agency.

**Award Procedure:** Funds are awarded by the Department on the basis of funding formulas to State agencies for further distribution to approved local agencies subject to the availability of appropriated funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** A State plan for the next fiscal year is required by August 15.

**Range of Approval/Disapproval Time:** An eligibility determination will be made within 30 days of submission of a completed plan.

**Appeals:** Local agency or food vendor appeals-The State agency shall provide a hearing procedure whereby a food vendor or local agency adversely affected by a State action may appeal the action. The right of appeal shall be granted when a local agency's or a food vendor's application to participate is denied, when participation is terminated, when a contract is not renewed by the State agency, or when any other adverse action which affects participation is taken. The adverse action shall be postponed until a hearing decision is reached. Participant appeals. The State agency shall provide a hearing procedure through which any individual may appeal a State or local agency action which results in the individuals denial of participation, suspension, or termination from the Program.

**Renewals:** The program authorization has been extended through September 30, 1984.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants are allocated on the basis of formulas determined by the Department. The statistical factors used for fund allocation are: 1. (Program Formula of 80%) number of children under age 5 below 200% poverty by State and the source is "Survey of Income and Education," 1975 Census; 2. infant mortality rate by State and the source is "Vital Health Statistics," National Center for Health Statistics; 3. (only used in administrative funding formula 20%) State percentage of rural births and the source is "Vital Health Statistics," NCHS; and 4. (administrative formula 20%) public employment -- above average Salary data and the source is "Salary Data Report" Bureau of the Census and "Public Employment," Census. The factor used for eligibility does not apply to this program because it is determined by States within Federal parameters. Consideration is also given to current participation levels, historical and projected food costs and State administrative costs. No matching funds are required, but states and local agencies are expected to bear the administrative costs in excess of their administrative funds allocation.

**Length and Time Phasing of Assistance:** Grants have been released for the duration of the fiscal year, using Letters of Credit to the Department of the Treasury. State agencies may withdraw funds only as needed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly report of participation, types of foods distributed or value of vouchers issued, operating expenses, and funds withdrawn from the Federal Letter of Credit. Annual report of Civil Rights Participation Data.

**Audits:** Each State agency shall provide for an independent audit of the financial operation in a representative sample of grant programs of the State agency and local agencies not less than once every two years.

**Records:** Adequate to account for amounts received and disbursed; food authorizations to each participant; food receipt, disposal, and inventory; medical measurements and income information taken.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3510-0-1-605.

**Obligations:** (Grants) FY 81 $771,444,000; FY 82 est $895,486,000; and FY 83 est $955,489,000.

**Range and Average of Financial Assistance:** Not presently available.

**PROGRAM ACCOMPLISHMENTS:** FNS has approved the operation of the WIC Program by 84 State agencies. This figure includes 50 states, 31 Indian agencies, Puerto Rico, the Virgin Islands and the District of Columbia. These State agencies had a peak participation of 2,264,781 in October of 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 C.F.R. Part 246.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Supplemental Food Programs Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 756-3746 (Use same 7-digit number for FTS). Contact: Barbara Sandoval, Director.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.551, Food Stamps; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.565, Commodity Supplemental Food Program; 13.600, Administration for Children, Youth and Families—Head Start; 23.013, Appalachian Child Development; 13.246, Migrant Health Centers Grants; 13.283, Center for Disease Control—Investigations, and Technical Assistance; 84.014, Follow Through.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** not applicable.

## 10.558 CHILD CARE FOOD PROGRAM

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 17 of the National School Lunch Act as amended by Public Law 94-105; 89 Stat. 522-525; Public Law 95-627,92 Stat. 3603-3626; and Public Law 97-35; Section 207 of Public Law 96-499, 94 Stat.2602.

**OBJECTIVES:** To assist States, through grants-in-aid and other means, to initiate, maintain or expand nonprofit food service programs for children in public and private non-profit non-residential institutions providing child care and private for-profit centers which receive compensation under Title xx for at least 25 percent of the children who are receiving non-residential day-care services.

**TYPES OF ASSISTANCE:** Formula Grants; Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Funds are made available for disbursement to eligible public and nonprofit private non-residential organizations including but not limited to day care centers, settlement houses, recreation centers, family and group day care programs, Head Start Centers, and institutions providing day care services for handicapped children and private for-profit centers which receive compensation under Title XX for at least 25 percent of the children who are receiving non-residential day care services. Disbursement is made on the basis of the number of lunches, suppers, breakfasts and snacks served, using reimbursement rates specified by law. Program institutions may receive reimbursement or not more than three meals per day per child; however, one of these meals must be a snack. The program is limited to 12 years old and younger, except that for children of migrant workers the age limit is 15 years, and for the mentally or physically handicapped person there is no age limit. (Handicapped persons over 12 years of age would be eligible to participate only in a center or home where the majority of the enrollees are 18 or under.) Meals must meet minimum requirements of the Department of Agriculture.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The State and U.S. Territory Educational Agency or other agency within the State and U.S. Territory applies for and receives Federal funds for disbursement, except that in states where that agency is not permitted to disburse funds to any institution, the institution may receive funds directly from the Department of Agriculture.

**Beneficiary Eligibility:** Public and nonprofit private organizations including but not limited to day care centers, settlement houses, recreation centers, family day care programs, Headstart programs, institutions providing day care services for mentally or physically handicapped children, and private for-profit centers which receive compensation unter Title XX for at least 25 percent of the children who are receiving non-residential day care services, which are licensed or approved by State, local or Federal authority as a child care institution, or can satisfy Federal interagency day care requirements or program child care standards requirements. Any eligible institution can receive the child care program upon request.

**Credentials/Documentation:** Applicants must furnish evidence of tax-exempt status under the Internal Revenue Code of 1954 or be in the process of securing such status under this code, unless they are serving Title XX children. Cost of State administrative expenses will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Institutions apply to the responsible State agency. Where the State does not administer the program, the application will be referred to the Food and Nutrition Service regional office. FNS will continue to administer the CCFP only in those States in which FNS has continously administered the program since October 1,1980, except that the State may, upon request to FNS, assume administration of the program. This program is subject to the provisions of OMB Circular No. A-110 or A-102.

**Award Procedure:** When application is approved, institution signs annual agreement with administering agency. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Public Law 97-35 eliminated the requirements for State to submit a State Plan for CCFP operations.

**Range of Approval/Disapproval Time:** Not applicable to States. Institutions applying to States must receive decision within 30 calendar days after receipt of a completed application.

**Appeals:** The State must provide a fair hearing to any institution with a grievance concerning a denial of an institution's application for participation or a termination of the participation, a suspension of an institution's agreement, a denial of an application for start-up or advance payments, or a denial of all or a part of the claim for reimbursement.

**Renewals:** Annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Program funds are provided to the States through a Letter of Credit to reimburse institutions for their costs in connection with the food service operations, including administrative expenses. Appropriate rates of reimbursement, multiplied by the number of meals served to enrolled children, represents the basic Program payment that an institution receives for each meal type served. The assigned rates of reimbursement are adjusted annually to reflect changes in the services for food away from home of the Consumer Price Index for All Urban Consumers, published in the Bureau of Labor Statistics periodical entitled Monthly Labor Review. Donated foods or cash in lieu thereof are also made available. Program payments to center programs depend on the number of meals served to enrolled children multiplied by the appropriate rates of reimbursements. These rates are determined by the economic need of the children served. Using the Income poverty Guidelines issued by the Department of Agriculture, the child's economic need is based on a statement of family size and income which determines the childs economic need. The child is placed in one of three categories. Sponsoring organizations of day care homes are reimbursed for food service and administrative cost. The reimbursement for food service is passed on by sponsoring organization to the day care homes under their auspices. Meals served to the provider's own children are reimbursable only if such children are eligible for free or reduced meals. This program has maintenance of effort (MOE) requirements. Consult funding agency for further details.

**Length and Time Phasing of Assistance:** For the period covered by the agreement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Service institutions file monthly reports on program operation to claim reimbursement for meals served.

**Audits:** Institutions are subject to biennial audits by State agencies or the Department of Agriculture in States which do not administer the program, as well as by the General Accounting Office. Institutions do not bear the cost of audits.

**Records:** Service institutions must maintain full and accurate records of food service for a period of 3 years after the end of the fiscal year to which they pertain, except that audit findings which remain unresolved must be held pending final audit determinations.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $289,800,000; FY 82 est $276,900,000; and FY 83 est $327,900,000; (does not include value of donated commodities).

**Range and Average of Financial Assistance:** In fiscal year 1981, the average reimbursement rate for all meal types was 53.0 cents, and in fiscal year 1982 the estimated average rate is 59.0 cents.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, an estimated 547 million meals were served; the estimate for fiscal year 1982 is 469 million meals and for fiscal year 1983 the estimate is 513 million meals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Part 226. Child Care Food Program pamphlet (FNS-154), no charge; Menu Planning Guide (FNS-64), no charge; Food Buying Guide (FNS-108), no charge; Food Service Equipment Guide (PA-1264), no charge; Providing Food With Care (PA-1266), no charge; Outside School Hours Care Center Guide (FNS-217--English and Spanish), no charge; Food Chart (PA-1165--English and Spanish), no charge; CCFP Management Manual For Institution (PA-1265), no charge; Recipe Cards (FNS-86), $6.40 each.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director, Child Care and Summer Programs Division, Food and Nutrition Service, Department of Agriculture, Washington, DC 20250. Telephone: (703) 756-3874 (Use same 7-digit number for FTS). Contact: Jordan Benderly.

**RELATED PROGRAMS:** 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, 10.559, Summer Food Service Program for Children; 13.600, Administration for Children, Youth, and Families—Head Start.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.559 SUMMER FOOD SERVICE PROGRAM FOR CHILDREN

### (Summer Program)

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 13 of the National School Lunch Act as amended by Public Law 94-105; 89 Stat. 516-518; Public Law 95-166, 91 Stat. 1325; Public Law 95-627,92 Stat. 3622; Public Law 97-35; Section 206 of Public Law 96-499, 94 Stat. 2601.

**OBJECTIVES:** To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for needy children during the summer months and at other approved times, when area schools are closed for vacation.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds are made available for disbursement to eligible service institutions which conduct a regularly scheduled program for children in areas where at least 50% of the children meet the income eligibility criteria for free and reduced price lunches, for any period during the months of May through September. Service institutions operating food service programs for children on school vacation under a continuous year round calendar may also apply. Disbursement to service institutions equals the full cost of food service operations, except that certain per meal rates cannot be exceeded. Meals must meet minimum requirements of the Department of Agriculture. Funds are also paid to any State for State administrative expenses for employing personnel, including travel and related expenses, and to supervise and give technical assistance to sponsors operating the SFSP.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The State and U.S. Territory agency applies for and receives Federal funds for disbursement, except where the State does not administer the program the institution may receive funds directly from the Department of Agriculture.

**Beneficiary Eligibility:** Public and private non-profit school food authorities, public or private nonprofit residential summer camps, or units of local, municipal, county, or State governments. Conducting a regularly scheduled program for children from areas in which poor economic conditions exist, for any period during the months of May through September, at site locations where regularly scheduled food service is provided for children in attendance. Institutions which develop food service programs for children on school vacation at any time under a continuous school calendar may also participate. Public or private residential nonprofit Summer camps may also participate and receive reimbursement only for meals served to enrolled children eligible for free and reduced price meals under the National School Lunch Program or the School Breakfast Program guidelines.

**Credentials/Documentation:** Applicants must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Cost of State administrative expenses will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Institutions apply directly to the responsible administering agency. Where the State does not administer the program, the application will be referred to the Food and Nutrition Service (FNS) regional office. Reimbursement may be made to noncamp sites serving one meal each day (breakfast, lunch, or snack), or two meals consisting of either a lunch and a snack or a lunch and a breakfast. Camp sites or migrant sites may serve up to four for more than two meals. This program is subject to the provisions of OMB Circular No. A-110, A-102 and the Department's Uniform Federal Assistance Regulations (7 CFR Part 3015).

**Award Procedure:** When an application is approved, the institution enters into an agreement with the appropriate agency for the duration of the summer program operations.

**Deadlines:** State Plan is due February 15. States establish the deadline date for sponsor application, however, no applications can be accepted after June 15.

**Range of Approval/Disapproval Time:** Not applicable to States. Institutions applying to States must receive decision in 30 days of receipt of a complete application.

**Appeals:** The States must have a hearing procedure for local service institution grievances.

**Renewals:** Annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Program funds are earned by the States and institutions on a per meal reimbursement basis with rates adjusted annually to reflect changes in the services for food away from home of the Consumer Price Index for All Urban Consumers. the poverty level and the source is OMB poverty guidelines (modified). This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:** For the period covered by the agreement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Service institutions file monthly reports on program operation to claim reimbursement for meals served.

**Audits:** Service institutions are subject to biennial audits in accordance to OMB Circulars No. A-110 and A-102 and the Departments Uniform Federal Assistance Regulations (7 CFR Part 3015).

**Records:** Service institutions must maintain full and accurate records of food service for a period of 3 years after the end of the fiscal year to which they pertain, except for unresolved audit findings, for which records must be retained until satisfactory resolution of audit issues.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $121,700,000; FY 82 est $61,100,000; and FY 83 est $62,700,000 (does not include value of donated commodities).

**Range and Average of Financial Assistance:** In fiscal year 1981, the estimated average reimbursement rate for all meal types was 125.8 cents; estimated fiscal year 1982 rate is 135.8 cents.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 97 million meals were served. The estimate for fiscal year 1982 is 45 million meals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR Part 225. Sponsor Administrative Handbook (FNS-207), no charge; Sponsor Meal Preparation Handbook (FNS-207), no charge; Site Supervisor's Guide (PA-1179), no charge; Monitor's Handbook (FNS-179), no charge; Food Service Management Co. Handbook has been incorporated into the Sponsor Administrative Handbook.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director, Child Care and Summer Programs Division, Food and Nutrition Service, Department of Agriculture, Washington, DC 20250. Telephone: (703) 756-3874 (Use same 7-digit number for FTS). Contact: Jordan Benderly.

**RELATED PROGRAMS:** 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, 10.558, Child Care Food Program; 13.600, Administration for Children, Youth and Families—Head Start.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.560 STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 7 of the Child Nutrition Act of 1966, as amended; Public Law 89-642, 80 Stat. 888, 42 U.S.C. 1773; Public Law 90-302, 82 Stat. 119, Public Law 91-248, 84 Stat. 210; Public Law 95-166, 91 Stat. 1338; Public Law 95-627, 92 Stat. 3621;

Public Law 97-35; Section 201 (G) of Public Law 96-499, 94 Stat. 2600; Public Law 97-35, 95 Stat. 531.

**OBJECTIVES:** To provide each State Educational Agency with funds for use for its administrative expenses in supervising and giving technical assistance to the local school districts and institutions in their conduct of child nutrition programs. Other State Agencies which administer the distribution of USDA donated commodities to schools are also provided with State Administrative Expense Funds.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** State Administrative Expense Funds must be used for purposes specified in the legislation, consistent with the cost principles and constraints on allowable and unallowable costs and indirect cost rates as prescribed in OMB Circular No. A-87. These funds may be used, under certain conditions, for the procurement of supplies, equipment, and services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Educational Agencies responsible for the conduct of child nutrition programs, and agencies responsible for the distribution of USDA donated commodities to schools including agencies in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Federal-State Agreement. The standard application forms as furnished by the Federal agency must be used for this program.

**Application Procedure:** State Agency enters into a written agreement with FNS on a form prescribed by FNS.

**Award Procedure:** Release of funds to a State Agency is contingent upon receipt and approval of a plan for disbursement of State Administrative Expense funds. At least twice during each fiscal year State Agencies submit information to the Food and Nutrition Service (FNS) on their use of these funds and their estimated funding needs for the duration of the fiscal year. Based on these estimates, FNS may reallocate available funds among States to insure the most effective usage. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Annual plan for disbursement of State Administrative Expense Funds is due by May 15 of each year. Date on the actual usage of funds is due by March 1 and June 1 of each year.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Annually as of October 1.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The funds are allocated on the basis of an amount equal to one percent of the total funds used in the State during the second preceding year for the National School Lunch Program, School Breakfast Program, and Special Milk Program and the source is programmatic and fiscal data, FNS. A sliding scale grant based on the child care program is added and the source is programmatic and fiscal data, FNS. No State receives less than $100,000 or the amount it received in fiscal year 1981, whichever is larger. Any reduction of funds from State sources below the fiscal year 1977 level will result in a withdrawal of Federal funds under this grant, since the grant was not intended to reduce State funding. In addition, the Secretary has discretionary authority to provide funds to States for program improvement and the source is programmatic and fiscal data, FNS. The statistical factor used for eligibility is all State agencies administering supported programs and the source is the Child Nutrition Act of 1966, as amended, section 7. This program has a Maintenance of Effort (MOE) requirement; see funding agency for details.

**Length and Time Phasing of Assistance:** For the period covered by the agreement. Fiscal year basis. State Administrative Expense funds (for National School Lunch Program, School Breakfast Program, Special Milk Program, and Child Care only) made available to any State, remain available for obligation and expenditure by that State during the fiscal year immediately following the fiscal year for which the funds were made available.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each State agency shall submit quarterly financial status information on State Administrative Expense Funds on forms provided by FNS and shall continue to report information on the use of SAE funds after the end of the fiscal year to which they pertain until all unpaid obligations have been liquidated.

**Audits:** Each State agency shall provide for audits of State agency operations to be made with reasonable frequency, but not less than once every 2 years.

**Records:** Each State agency shall keep records on administrative expenses conforming with the applicable State plan and shall maintain current accounting records of State Administrative Expense Funds which shall adequately identify fund authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $38,226,000; FY 82 est $44,538,000; and FY 83 est $47,736,000.

**Range and Average of Financial Assistance:** The average allocation in fiscal year 1981 was $671,000, ranging from $77,000 to $3,027,000.

**PROGRAM ACCOMPLISHMENTS:** The availability of State Administrative Expense Funds has enabled State agencies to be more effective in meeting their administrative responsibilities under the National School Lunch, School Breakfast and Child Care Food Programs and to promote expansion of the programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations 7 CFR Part 235 - State Administrative Expense Funds.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director, School Programs Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 756-3590 (Use same 7-digit number for FTS). Contact: Samuel P. Bauer.

**RELATED PROGRAMS:** 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.558, Child Care Food Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR FOOD STAMP PROGRAM

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Food Stamp Act of 1977, Public Law 95-113, 91 Stat. 958, Public Law 96-249, 94 Stat. 357.

**OBJECTIVES:** To provide Federal financial aid to State agencies for costs incurred to operate the Food Stamp Program.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To provide Federal funding for administrative costs incurred by State and local agencies to operate the Food Stamp Program. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs. Submission of claims for payments of administrative costs shall be in accordance with 7 CFR 277 of the Food Stamp Program Regulations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Agreements are between USDA-FNS and State cooperators (U.S. Territories qualify as states for grant purposes).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with 7 CFR 277 and cost allocation plans negotiated by a cognizant Federal agency for State government. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular NO. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** No preapplication forms are required--plan of operation submitted by State agency when approved for funding. The forms as furnished by the Food and Nutrition Service must be used for this program.

**Application Procedure:** State governments may apply for Federal financial aid in accordance with requirements outlined in Part 7 CFR and 277.

**Award Procedure:** Food and Nutrition Service funds State cooperator operations.

**Deadlines:** State Plan deadline is August 15. Budgets are due 45 days prior to the end of each Federal Quarter.

**Range of Approval/Disapproval Time:** 30 days.

**Appeals:** Not applicable.

**Renewals:** Annually as of October 1.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal agency funds 50 percent of State administrative costs. In addition, State agencies may receive up to 75 percent of the costs of administering the program as provided for , in 7 CFR 277.

**Length and Time Phasing of Assistance:** Annually by fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports are submitted as required by Part 272 and 277.

**Audits:** Organization-wide as required in 7 CFR 3015 Subpart I.

**Records:** Financial records supporting documents, statistical records and all records pertinent to a grant program shall be retained for a period of 3 years. Additionally, those record retention requirements outlined stated in 7 CFR 3015 Subpart D. apply to this program.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3505-0-1-605.

**Obligations:** (Grants) FY 81 $500,992,000; FY 82 est $577,200,000; and FY 83 est $526,000,000.

**Range and Average of Financial Assistance:** State Administrative $370,000 to $47,833,000; $8,537,000.

**PROGRAM ACCOMPLISHMENTS:** Paid 50 percent of State Administrative cost of providing food stamps.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR parts 277 and 3015.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Deputy Administrator, for Financial Management, Food and Nutrition Service, Department of Agriculture, Contact: Raymond A. Pugh, Telephone: (703) 756-3046.

**RELATED PROGRAMS:** 10.551, Food Stamps.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.564 NUTRITION EDUCATION AND TRAINING PROGRAM

### (NET Program)

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 19 of the Child Nutrition Act of 1966, as amended, Public Law 95-166, 42 U.S.C. 1788, 91 Stat. 1340-1344; Section 213 of Public Law 96-499; 94 Stat.2603.

**OBJECTIVES:** To encourage the dissemination of nutrition information to children participating or eligible to participate in the school lunch and related child nutrition programs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are made to State education agencies to provide for the nutritional training of educational and food service personnel, the food service management training of school food service personnel, and the conduct of nutrition education activities in schools and child care institutions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and territorial education agencies or alternate State agencies.

**Beneficiary Eligibility:** Benefits ultimately accrue to school children in the form of improved nutrition education.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** During the first fiscal year of participation, an AD-623 is submitted for advance funding for coordinator; the AD-623 is amended to request needs assessment/planning funds; a State Plan is submitted for the remainder of the funding.

**Award Procedure:** The AD-623 is reviewed and approved by the Food and Nutrition Service (FNS) regional office. The State Plan is reviewed and approved by the appropriate FNS Regional Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** The State Plan is required within 9 months following the award of the needs assessment and planning grant for the first year of participation. In subsequent years, the State Plan must be submitted prior to the beginning of the fiscal year on a date to be determined by the Secretary of Agriculture.

**Range of Approval/Disapproval Time:** The Secretary must take action on State Plans within 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Program funds are provided to the States through a Letter of Credit to reimburse institutions for their costs in connection with the food service operations, including administrative expenses. Appropriate rates of reimbursement, multiplied by the number of meals served to enrolled childern, represent the basic program payment that an institution receives for each meal type served. The assigned rates of reimbursement are adjusted annually to reflect changes in the services for food away from home of the Consumer Price Index for All Urban Consumers, published in the Bureau of Labor Statistics periodical entitled Monthly Labor Review. Donated foods or cash-in-lieu thereof are also made available. Program payments to center programs depend on the number of meals served to enrolled children, multiplied by the appropriate rates of reimbursement. These rates are determined by the economic need of the children served. Using the Income Poverty Guidelines issued by the Department of Agriculture, the child's economic need is based on a statement of family-size and income which determines the child's economic need category. The child is placed in one of three categories. Sponsoring organizations of day care homes are reimbursed for food service and administrative costs. The reimbursement is passed on by sponsoring organizations to day care homes under their auspices. Meals served to the provider's own children are reimbursable only if such children are eligible for free or reduced meals. This program has maintenance of effort (MOE) requirements. Consult funding agency for further details. The statistical factors used in fund allocation are: 1. enrollment in public schools and the source is "statistics of Public Schools," Fall, 1980, NCES; 2. enrollment in private schools and the source is "Digest of Educational Statistics," NCES; 3. enrollment in residential child care institutions and the source is "USDA Annual Report of meal service in schools, Food and Nutrition Service," 1981; and 4. enrollment in nonresidential child care institutions and the source is "Day Care Centers in the U.S.: A National Profile" 1976-1977, Administration for Children, Youth, and Families. The statistical factor for eligibility does not apply to this program. Funds are apportioned based on the latest available enrollment data for schools and institutions in each State multiplied by 50 cents. States may use up to 15 percent of their total grant for up to 50 percent of expenditures for administration. If funds appropriated are not sufficient to meet this formula, the amount granted to each State will be proportionately reduced.

**Length and Time Phasing of Assistance:** Fiscal year basis. Assistance is made available as required through letters of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with OMB Circular No. A-102.

**Audits:** In accordance with OMB Circular No. A-102, Attachment P.

**Records:** In accordance with OMB Circular No. A-102, Attachments C and H.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3539-0-1-605.

**Obligations:** (Grants) FY 81 $15,000,000; FY 82 est $5,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $75,000 to $1,974,000; $400,000. (Currently undergoing revision.)

**PROGRAM ACCOMPLISHMENTS:** Information not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 227.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Nutrition and Technical Services Division, Food and Nutrition Service, Department of Agriculture, Washington, DC 20250. Telephone: (703) 756-3585. Contact: Henry Rodriguez.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.565 COMMODITY SUPPLEMENTAL FOOD PROGRAM

**FEDERAL AGENCY:** FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 4(a) of the Agriculture and Consumer Protection Act of 1973, as amended, Public Law 93-86; 7 U.S.C. 612c (note); Food and Agriculture Act of 1977; Public Law 95-113; 91 Stat. 980.

**OBJECTIVES:** To improve the health and nutritional status of infants, children up to the age of 6, pregnant, postpartum and breastfeeding women through the donation of supplemental foods.

**TYPES OF ASSISTANCE:** Project Grants; Sale, Exchange, or Donation of Property and Goods; Formula Grants.

**USES AND USE RESTRICTIONS:** To provide Federal funding for administrative costs in making selected foods and nutrition education available to infants, preschool children up to the age of 6, pregnant women postpartum and breastfeeding mothers in low income families in order to prevent or correct nutritional deficiencies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Agreements are made between the Department and the State agency, or an Indian tribe, band or group recognized by the Department of the Interior for the administration of the program, and between the Department and the State agency and distributing agency for the distribution of commodities.

**Beneficiary Eligibility:** To be certified as eligible to receive supplemental foods, each applicant must have: (a) categorical eligibility as an infant, child, or pregnant, postpartum or breastfeeding woman; and (b) eligibility for local benefits under existing Federal, State or local food, health or welfare programs for low income persons.

**Credentials/Documentation:** Participants are issued prescriptions for supplemental foods by personnel of a local agency or by such other personnel as the local agency may designate. Costs of State administrative expenses will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application is made through submission of a State Plan of Program Operation and Administration as required by the Federal agency.

**Application Procedure:** The State agency shall require each agency which desires approval as a local agency, to submit an application which contains sufficient information to enable the State agency to make a determination as to the eligibility of that agency.

**Award Procedure:** The Department donates supplemental foods for use in accordance with the terms of Section 416 of the Agriculture Act of 1949. The States distribute the food to individual participants through local agencies. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** A State Plan for the next fiscal year is required by August 15.

**Range of Approval/Disapproval Time:** An eligiblity determination will be made within 30 days of submission of a completed plan. (See Appeals).

**Appeals:** Participant appeals - The State agency shall provide a hearing procedure through which any individual may appeal a State or local agency action which results in the denial or termination of benefits to the individual.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Regulations in accordance with Public Law 95-113 allow U.S.D.A. to reimburse State and local agencies for administrative costs up to 15 percent of the annual appropriation available for the purchase of commodities.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial, program, inventory, and civil rights reports shall be submitted as required by FNS at a frequency prescribed by FNS.

**Audits:** Each State agency shall provide for an independent audit of the financial operations in a representative sample of grant programs, of the State agency and local agencies not less than once every 2 years.

**Records:** Each State agency shall maintain accurate and complete records of all receipts and dispositions as detailed in the Final Regulations 247.13(a).

**FINANCIAL INFORMATION:**

**Account Identification:** 12-3510-0-1-605.

**Obligations:** (Food Donations and Grants) FY 81 $23,638,000; FY 82 est $25,461,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not presently available.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, FNS approved the operation of the CSFP by 12 State agencies. Participation in fiscal year 1981 was 113,000. Average participation for 1982 is estimated to be $142,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 247. FY 1980 CSFP State Plan Guidance: Free from the Department.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Supplemental Food Program Division, Food and Nutrition Service, Department of Agriculture, Alexandria, Virginia 22302. Telephone: (703) 756-3746 (Use same 7-digit number for FTS). Contact: Barbara Sandoval, Director.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.551, Food Stamps; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Food Program for Women, Infants, and Children; 13.600, Administration for Children, Youth and Families—Head Start; 23.013, Appalachian Child Development; 84.014, Follow Through.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.652 FORESTRY RESEARCH

### (Research Grants)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Federal Grant and Cooperative Agreement Act of 1977, Public Law 95-224, 41 U.S.C. 506; Basic and Applied Research Grants, Public Law 89-106, Section 2; 7 U.S.C. 450i; 79 Stat. 431; Forest and Rangeland Renewable Resources Research Act of 1978, Public Law 95-307; 92 Stat. 353, 16 U.S.C. 1643.

**OBJECTIVES:** To extend the research activities of the Forest Service by awarding grants primarily to nonprofit institutions of higher education, but also to other institutions and organizations engaged in scientific research.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants will be used for research in the fields of timber management, watershed management, forest range management, wildlife habitat management, forest recreation, forest fire protection, forest insect and disease protection and control, forest products utilization, forest engineering, forest production economics, forest products marketing, forest survey. Indirect expenses are negotiable within the indirect rate established by the Government's cognizant audit agency. Grants are limited to 5-years duration. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility**: Grants for basic or applied research may be made to State Agricultural Experiment Stations, State and local governments, U.S. Territories, and nonprofit institutions or organizations.

**Beneficiary Eligibility:** The ultimate beneficiary is the general public. A principal investigator and his research staff are the immediate beneficiaries.

**Credentials/Documentation:** The principal investigator must establish his competence in the field of the research proposed. Costs will be determined in accordance with OMB Circular No. A-87 for State and local government grantees only.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Formal grant proposals from State agencies or organizations must be coordinated with a coordinating agency appointed by the Governor of each State. Coordination is not required on applications from other sources. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by State and local government grantees only. Standard Form 424 (SF-424) will be used.

**Application Procedure:** A complete research proposal must be submitted following guidelines available in each of the offices referred to below. The proposal must explain in detail the work to be undertaken, the competence of the principal investigator and his staff, other resources such as equipment, facilities and services available or needed, and a proposed budget for each fiscal year during the life of the proposed grant. A short biographical sketch of the principal investigator and a list of his principal publications should be included. A narrative description of the differing competences of personnel in place and others to be hired to perform the work must be included. This program is subject to the provisions of OMB Circular No. A-110. Standard Form 424 (SF-424) will be used.

**Award Procedure:** All research grant proposals must compete for priority in technical competence and meeting national or regional needs. Research grants are made only in support and stimulation of forestry research.

**Deadlines:** Contact the Regional Experiment Stations for deadlines.

**Range of Approval/Disapproval Time:** 120 days.

**Appeals:** Contact the Regional Experiment Station for Guidance.

**Renewals:** Requests for continued support will be considered in equal competition with pending proposals. Requests should be treated as new proposals except that a resume of progress to date must be added.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The applicant's contribution is negotiated. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and value of resources to be contributed by the applicant. Salaries of academic personnel for periods when they receive salary for teaching should not be included for payment from grant funds.

**Length and Time Phasing of Assistance:** 1 to 5 years. Funds are provided on a reimbursable basis. Billings for expenses incurred may be submitted monthly, quarterly, or semiannually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Technical reports of progress are required annually; a final report is required upon completion of project. Fiscal reports are required at least semiannually.

**Audits:** The Comptroller General of the United States, his representative, or auditors of the cognizant audit agency for the educational institution involved shall have access at any reasonable time to the plant, laboratories, offices or other facilities for purposes of review and observation of the status and progress of the sponsored project. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** All related data, information, records and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is authorized in writing.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1100-0-1-302.

**Obligations:** (Grants) FY 81 $3,974,052; FY 82 est $3,200,000; and FY 83 est $3,100,000.

**Range and Average of Financial Assistance:** $2,000 to $100,000; $20,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 90 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** OMB Circular No. A-102 and OMB Circular No. A-87 are applicable to State and local government grantees. OMB Circular No. A-110 is applicable to educational institutions.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact for grants shall be made to the Directors of the Regional Experiment Stations, or the Forest Products Laboratory as listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Chief for Research, Forest Service, Department of Agriculture, P.O. Box 2417, Washington, DC 20013. Telephone: (202) 447-7075 (Use same 7-digit number for FTS). Contact: Ms. Gloria A. Richardson.

**RELATED PROGRAMS:** 10.001, Agricultural Research—Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under Hatch Act; 10.500, Cooperative Extension Service; 15.610, Wildlife Ecology Research Information.

**EXAMPLES OF FUNDED PROJECTS:** Examples of executed grants are: relationship between urban climate and urban forest: effects of prescribed fire on nutrient cycling in ponderosa pine forests; design and test of a proposed experimental system for continuous press drying of paper; and biological decay of logging residues.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 10.663 YOUNG ADULT CONSERVATION CORPS—GRANTS TO STATES
## (YACC)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE; DEPARTMENT OF THE INTERIOR; DEPARTMENT OF LABOR

**AUTHORIZATION:** Youth Employment and Demonstration Project Act of 1977, Public Law 95-93 which amends Comprehensive Employment and Training Act of 1973, 91 Stat. 627, by adding Title VIII, Youth Adult Conservation Corps; Authorization extended through fiscal year 1982 by the Comprehensive Employment and Training Act Amendments of 1978, Title VIII, Public Law 95-524, 29 U.S.C. 991.

**OBJECTIVES:** To provide employment and other benefits to youth, who would otherwise not be currently productively employed, through service in useful conservation work and other projects of a public nature on Federal and non-Federal public lands and waters.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Financial assistance is provided to States for the full cost of projects for the employment of young men and women to do conservation work and other public projects on non-Federal public lands and waters. The cost per unit will be reflected in all program costs, including, but not limited to: camp/project operating costs; enrollee wages and benefits; recruitment, selection, and placement support costs; transportation; program direction expenses; and phase out costs. Each enrollee shall be paid at the Federal minimum wage rate. An exception shall be for an additional cost-of-living adjustment for enrollees in the State of Alaska, not to exceed 25 percent of the Federal wage rate. Enrollees assigned to residential camps shall be charged for food and lodging, but at rates not to exceed $3.00 per day for meals and lodging. The Department of Labor through the Departments of Agriculture and Interior shall make available to States 30 percent of the sums appropriated for YACC for any fiscal year for the operation of State and local programs. State allocations will be based upon total youth population in each State. Grant funds must be used on projects which are consistent with the Forest and Rangeland Renewable Resources Planning Act of 1974, as amended by the National Forest Management Act of 1976 and such other standards relating to such projects as the Secretaries of Agriculture and Interior shall prescribe. Federal regulations and grant procedures were published in the Federal Register, Vol. 43-No. 56, on March 22, 1978 for the Forest Service. The Department of Interior published identical regulations in Vol. 43-No. 57, on March 23, 1978. These regulations are consistent with the Department of Labor regulations and the interagency agreement.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All States are eligible. The term "State" includes any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Trust Territories of the Pacific Islands and the Northern Marianas. Governor-designated State agencies are eligible for grants. Other State agencies, lower-tier governmental organizations, units of local government, and public agencies or organizations or private, nonprofit agencies or organizations which have been in operation at least 2 years, may apply to the designated State agencies for a YACC sub-grant or contract.

**Beneficiary Eligibility:** Young men and women between the ages of 16 and 23, inclusive, who are unemployed. Citizens, lawfully permanent residents of the U.S., lawfully admitted refugees or parollees may apply for Corps membership. Applicants must be capable of carrying out the work of the Corps. Those enrolled may be employed for a period not to exceed 6 months in duration. Those who have attained the age of 16 but not attained age 19 shall not have left school for the purpose of enrolling in the Corps. No youth may be enrolled only for the normal summer period between school terms.

**Credentials/Documentation:** Set forth in agency regulations and guidelines. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applicants will use the short form, Attachment M, Exhibit M-5, OMB Circular No. A-102; preparation will be in accordance with the procedures set forth in OMB Circular No. A-102 and in the grant regulations of the Secretaries of Agriculture and Interior, 36 CFR 215 and 43 CFR 32, respectively. All applications must be submitted by the Governor's designated agency, to the appropriate regional representatives of the Secretaries of Agriculture (Forest Service) and Interior. Preapplication is not required but a Preapplication conference is recommended between Federal and State representatives. Consultation and assistance in application preparation is available from the various regional representatives of the Secretaries of Agriculture (Forest Service) and Interior at locations throughout the country.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Fund allocations are based upon the total youth population within each State and total national youth population and the source for these statistical factors is 1977 latest figure available from "Current Population Reports," Bureau of the Census. The statistical factor for eligibility does not apply to this program. State YACC program activities will be 100 percent funded and do not require matching by grantee.

**Length and Time Phasing of Assistance:** Over the life of the program until March 31, 1982 for Program Operations and June 30, 1982 for Final Reports.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and Final Financial Status Report, Enrollee Characteristics and Program Progress Report, and Work Accomplishment Report.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. The program is also subject to audits by the U.S. Department of Agriculture and the U.S. Department of the Interior. Grants made by USDA may be audited by the Office of Inspector General in accordance with Attachment D of OMB Circular No. A102.

**Records:** Complete financial and program data records must be maintained. Records retention and custodial requirements are those prescribed by Attachment G to OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0174-0-1-504.

**Obligations:** (Grants) FY 81 $66,691,308; FY 82 $40,028,772; and FY 83 est $0.

**Range and Average of Financial Assistance:** For fiscal year 1980, grants to States ranged from $98,000 to $7,000,000. The average allocation per State was $1,000,000.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1980, employment of approximately 26,000 youth throughout the United States. For FY 81, employment of approximately 19,000 youth throughout the U.S.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Overall program regulations were printed in the the Federal Register on December 6, 1977, 29 CFR Parts 94 and 97b. Instructions to State employment security agencies are contained in GAL 41-77 dated September 23, 1977. Instructions to regional offices are found in FM No. 429-77 dated September 15, 1977, and ETO No. 9-77 dated September 16, 1977. Overall program regulations were revised and published by the Department of Labor on August 24, 1979, in 20 CFR Parts 675 and 685. State grant program regulations are published by the Secretaries of Agriculture (Forest Service) and Interior in 36 CFR 215 and 43 CFR 32, respectively.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For information on site operations and locations, contact the Office of Manpower Training and Youth Activities, Department of the Interior, Room 2415, 18th and C Streets, N.W., Washington, DC 20240, or Office of Human Resources, Forest Service, Department of Agriculture, Room 2117A, 14th and Independence Ave., S.W., Washington, DC 20250. For State programs, interested persons may obtain information from Regional Foresters or Area Directors (see address Appendix IV of the Catalog). State Foresters and/or State agencies having natural resources and conservation responsibilities are also sources of information. Interested persons may also contact the Governor's designated YACC program agent.

**Headquarters Office:** Administrator, Staff Director, Human Resources Programs, Forest Service, Department of Agriculture, P.O. Box 2417, Washington DC 20013. Telephone: (202) 382-1697 (Use same 7-digit number for FTS). Office of Youth Programs, Department of the Interior, C Street between 18th and 19th, N.W., Washington,DC 20250. Telephone: (202) 341-3865.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria for awarding grants are included in the state grant program regulations published by the Secretaries of Agriculture (Forest Service) and Interior in 36 CFR 215.9 and 43 CFR 32.9, respectively. Award criteria considered include: funds available; youth population in each state; state performance; program quality; value of work accomplished; enrollee cost limitation and residential requirement; project location and equal employment opportunity requirements.

## 10.664 COOPERATIVE FORESTRY ASSISTANCE

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** The Cooperative Forestry Assistance Act of 1978; Public Law 95-313.

**OBJECTIVES:** With respect to non-Federal forest and other rural lands to assist in the advancement of forest resources management; the encouragement of the production of timber; the prevention and control of insects and diseases affecting trees and forests; the prevention and control of rural fires; the efficient utilization of wood and wood residues, including the recycling of wood fiber; the improvement and maintenance of fish and wildlife habitat; and the planning and conduct of urban forestry programs.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** To assist State Forester or equivalent agencies in programs on private, State, local, and other non-Federal forest and other rural lands. Programs may include production of timber and efficient processing and use of wood products; increasing and managing forest resources; developing genetically improved tree seeds; producing and distributing tree seeds and seedlings; reforestation; timber stand improvement; improving wildlife habitat; assisting private woodland owners in harvesting, processing, and marketing activities; conversion of wood to energy; management, planning and treatment of forest land; protection and improvement of forest soil fertility; forest insect and disease management and protection; urban forestry; the prevention, control, suppression and prescribed use of fires; provision of financial, technical and related assistance to local rural fire fighting forces; acquisition and use of Federal excess property; organizational improvement; forestry resources planning; and technology transfer. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Forestry or equivalent State agencies are eligible. All States, the District of Columbia, Puerto Rico, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the territories and possessions of the United States are eligible.

**Beneficiary Eligibility:** Landowners of non-Federal lands; rural community fire fighting forces; urban and municipal governments, and other State, local, and private agencies acting through State Foresters or equivalent State officials.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Assistance is available from the Federal agency to aid in the preparation of the application. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program whenever pesticides are to be used.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** States are requested to submit Form AD-623's with SF 424 cover sheets within 30 days of being advised of tentative allotments.

**Range of Approval/Disapproval Time:** From 10 to 30 days.

**Appeals:** Not applicable.

**Renewals:** Program is continuing, but Forms AD-623 with SF 424 cover sheet required each year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Statistical factors for eligibility do not apply to this program. The amount reimbursed by the Federal Government shall not exceed the amount expended by a State for all programs except those covered by Section 8 of Public Law 95-313. Cost sharing ratios for Section 8(a) Management Assistance and Section 8(c), Technology Implementation programs shall be negotiated. Section 8(b), Forest Resource Planning program funds require 20 percent matching by the State. Amount of grant based on negotiated targets to be achieved, with a "floor" level equal to the fiscal year 1978 financial assistance level, with 2-year or less projects excepted.

**Length and Time Phasing of Assistance:** Year-long financial assistance on a reimbursement basis. Letter of credit optional with recipient.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual accomplishment reports required.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circulars No. A-73 and A-102 Attachment P, to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and condition of grants and other agreements.

**Records:** State accounting system is accepted, if acceptable to audit and reconciliation. Cooperating State agencies need to maintain adequate systems for collecting and recording statistical data.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1100-0-1-302.

**Obligations:** (Total) FY 81 $74,116,000; FY 82 est $66,200,000; and FY 83 est $50,000,000.

**Range and Average of Financial Assistance:** $40,000 to $5,000,000; $800,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, recipients provided technical forestry assistance to 164,000 land owners, including preparation of 51,000 management plans on 3,800,000 acres of forest land; assistance in training and equipping to 3,000 rural fire fighting departments; and technical assistance to loggers and forest products processors resulting in savings of 178 million cu. ft. of wood. Recipient forest tree nurseries produced 754,000,000 forest tree seedlings. Insect and disease surveys were completed on 750 million acres of public and private forest lands and pest suppression projects were undertaken on another 3.4 million acres.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Forest Service Manual-Titles 3000, 3100, 3200, 3300, 3400; available in all Forest Service offices, and State Forestry agency offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Directors of the Forest Service.

**Headquarters Office:** Deputy Chief, State and Private Forestry, Forest Service, Department of Agriculture, P.O. Box 2417, Washington, DC 20013. Telephone: (202) 447-6657. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.064, Forestry Incentives Program.

**EXAMPLES OF FUNDED PROJECTS:** Not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 10.665 SCHOOLS AND ROADS—GRANTS TO STATES

### (25 Percent Payments to States)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** 16 U.S.C. 500.

**OBJECTIVES:** To share receipts from the National Forests with the States in which the National Forests are situated.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To be used for the benefit of the public schools and public roads of the county or counties in which the National Forest is situated.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grant recipients must be States (including commonwealths) or territories of the United States containing National Forest land.

**Beneficiary Eligibility:** States and territories.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This Grant has been waived from the application provisions of OMB Circular No. A-95.

**Application Procedure:** None.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount paid shall represent 25 percent of all moneys received during any fiscal year from each National Forest. When a National Forest is in more than one State, territory, or county, the distributive share to each shall be proportional to its area therein. The term "moneys received" includes: 1. all collections under the act of June 9, 1930 (Knutson-Vandenberg Act); and 2. all amounts earned by or allowed to purchasers of National Forest timber and other forest products, within such State, as purchaser credits for the construction of roads on the National Forests Transportation System within such National Forests or parts thereof in connection with any Forest Service timber sales contract, as well as direct receipts from the sale of forest products, minerals, and land use.

**Length and Time Phasing of Assistance:** Approximately 75 percent of the estimated fiscal year's payment will be made on or about October 1 of each year. The final payment will be made on or about December 1 of each year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-9921-0-2-852.

**Obligations:** (Grants) FY 81 (based on FY 80 receipts) $233,622,962; FY 82 est (based on FY 81 receipts) $229,219,288; and FY 83 est (based on estimated FY 82 receipts) $328,768,000.

**Range and Average of Financial Assistance:** $64 to $95,112,708; $5,590,714.

**PROGRAM ACCOMPLISHMENTS:** None.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Fiscal branch of appropriate Forest Service Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Clarence E. Tipton, Director of Fiscal and Accounting Management, Forest Service, USDA, Room 701 RPE, P.O. Box 2417, Washington, DC 20013. Telephone: (703) 235-8159 (Use same 7-digit number for FTS). Contact: Thelma Gardiner.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.666 SCHOOLS AND ROADS—GRANTS TO COUNTIES

### (Payments to Counties)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** 7 U.S.C. 1012.

**OBJECTIVES:** To share receipts from National Grasslands and Land Utilization Projects with the counties in which the National Grasslands and Land Utilization Projects are situated.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS.** To be used for school or road purposes or both.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Counties within the States of the United States containing National Grasslands or Land Utilization Projects.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This grant has been waived from the application provisions of OMB Circular No. A-95.

**Application Procedure:** None.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount paid shall represent 25 percent of the net revenues received from the use of the land during the preceding calendar year.

**Length and Time Phasing of Assistance:** The full 25 percent payment will be made to the county treasurers on or about March 31 of each year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-9921-0-2-852.

**Obligations:** (Grants) FY 81 $6,721,590; FY 82 est $12,116,456; and FY 83 est $12,400,000.

**Range and Average of Financial Assistance:** $8 to $5,121,090; $134,627.

**PROGRAM ACCOMPLISHMENTS:** None.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Fiscal Branch of appropriate Forest Service Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Clarence E. Tipton, Director of Fiscal and Accounting Management, Forest Service, USDA, Room 701 RPE, P.O. Box 2417, Washington, DC 20013. Telephone: (703) 235-8159 (Use same 7-digit number for FTS). Contact: Thelma Gardiner.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.667 SCHOOL FUNDS—GRANTS TO ARIZONA

### (Arizona School Fund)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** 36 Stat. 562,573.

**OBJECTIVES:** To pay to the State of Arizona a portion of the gross proceeds from the National Forests in the State.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To be applied as income for the common school fund of the State.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State of Arizona only.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This grant has been waived from the application provisions of OMB Circular No. A-95.

**Application Procedure:** None.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount paid shall represent such proportion of the gross proceeds of all the National Forests within the State as the area of lands granted to the State for school purposes which are situated within the Forest reserve may bear to the total area of all the National Forests within the State.

**Length and Time Phasing of Assistance:** Approximately 75 percent of the estimated fiscal year's payment will be made to the State Treasurer on or about October 1 of each year. The final payment will be made on or about December 1. This payment will be included in the check for the payment authorized by 16 U.S.C. 500.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-9921-0-2-852.

**Obligations:** (Grants) FY 81 (based on FY 80 receipts) $161,020; FY 82 est (based on FY 81 receipts) $121,252; and FY 83 est (based on estimated FY 82 receipts) $121,000.

**Range and Average of Financial Assistance:** $121,000.

**PROGRAM ACCOMPLISHMENTS:** None.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Arvin L. White, Regional Director of Fiscal and Accounting Management, Forest Service, USDA, Federal Building, 517 Gold Avenue S.W., Albuquerque, New Mexico 87102.

**Headquarters Office:** Clarence E. Tipton, Director of Fiscal and Accounting Management, Forest Service, USDA, Room 701 RPE, P.O. Box 2417, Washington, DC 20013. Telephone: (703) 235-8159 (Use same 7-digit number for FTS). Contact: Thelma Gardiner.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.668 ADDITIONAL LANDS—GRANTS TO MINNESOTA

### (Minnesota Special)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** 16 U.S.C. 577g.

**OBJECTIVES:** To share National Forest receipts with the State of Minnesota in connection with lands situated in the counties of Cook, Lake, and St. Louis which are withdrawn from entry and appropriation under the public land laws of the United States.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Payments will be distributed by the State Treasurer to each of the three affected counties in conformity with the fair appraised value of such National Forest lands in each county.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State of Minnesota only.

**Beneficiary Eligibility:** State of Minnesota and Cook, Lake, and St. Louis counties.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This grant has been waived from the application provisions of OMB Circular No. A-95.

**Application Procedure:** None.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount paid shall represent three-quarters of 1 percent of the fair appraised value of such National Forest lands as may be situated within the area described in 16 U.S.C. 577d at the end of each fiscal year. The fair appraised value shall be determined by the Secretary of Agriculture at ten-year intervals and his determination shall be conclusive and final.

**Length and Time Phasing of Assistance:** Approximately 75 percent of the estimated fiscal year's payment will be made to the State Treasurer on or about October 1 of each year. The final payment will be made on or about December 1 of each year. These payments will be combined with the payments authorized by 16 U.S.C. 500.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-9921-0-2-852.

**Obligations:** (Grants) FY 81 estimate (based on estimated September 30, 1980 acreage) $711,628; FY 82 est (based on September 30, 1981 acreage) $710,799; and FY 83 est (based on estimated September 30, 1982 acreage) $711,000.

**Range and Average of Financial Assistance:** $711,000.

**PROGRAM ACCOMPLISHMENTS:** None.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Administrative Officer, Superior National Forest, Box 338, Duluth, Minnesota 55801. Telephone: (218) 272-6692; FTS 783-9321.

**Headquarters Office:** Clarence E. Tipton, Director of Fiscal and Accounting Management, Forest Service, USDA, Room 701 RPE, P.O. Box 2417, Washington, DC 20013. Telephone: (703) 235-8159 (Use same 7 digit number for FTS). Contact: Thelma Gardiner.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.669 ACCELERATED COOPERATIVE ASSISTANCE FOR FOREST PROGRAMS ON CERTAIN LANDS ADJACENT TO THE BOUNDARY WATERS CANOE AREA

## (BWCA)

**FEDERAL AGENCY:** FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Section 6(c)(2), Boundary Waters Canoe Area Wilderness and Boundary Waters Canoe Area Mining Protection Area Act, Public Law 95-495.

**OBJECTIVES:** To provide a system of grants in cooperation with the State of Minnesota, Division of Forestry, for the accelerated management of forest resources on State, county, and private lands adjacent to the Boundary Waters Canoe Area Wilderness.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To be used only by the Director, Minnesota Division of Forestry, for intensification of forest management on State, county, and private lands adjacent to the Boundary Waters Canoe Area Wilderness. Agreed upon work includes accelerated management of State and county lands including reforestation and timber stand improvement, improved access roads and bridges, nursery expansion, expanded forest inventory, and accelerated private forest assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Director, Minnesota Division of Forestry.

**Beneficiary Eligibility:** Landowners of non-Federal lands, and other State and local agencies acting through the Director, Minnesota Division of Forestry.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Assistance is available from the Federal agency to aid in the preparation of the application.

**Application Procedure:** Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for the program.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Program will run for 10 years, but Forms AD-663 with SF 424 cover sheet are required each year

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount reimbursed by the Federal Government shall not exceed 80 percent of the total cost of the grant.

**Length and Time Phasing of Assistance:** Year-long financial assistance on a reimbursement basis. Letter of Credit optional with recipient.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual accomplishment reports required.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipients system of financial management and internal control to meet terms and conditions of the grant.

**Records:** State accounting system is accepted. State needs to maintain adequate systems for collecting and recording statistical data.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1100-0-1-302.

**Obligations:** (Grant) FY 81 $3,800,000; FY 82 est $3,700,000; and FY 83 est $3,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 the State of Minnesota completed reforestation and timber stand improvement on 19,100 acres of State-owned land and similar work on 5,700 acres of county-owned land. They shipped 21.9 million seedlings, inventoried over a million acres of State and county forest land, restored and maintained over 900 miles of forest road, and provided forest management assistance on over 1 thousand acres of privately-owned woodlands.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Forest Service Manual - Titles 3000, 3100, 3200, 3300, 3400 available in the Superior National Forest headquarters, Duluth, Minnesota, and the Minnesota Division of Forestry headquarters, St. Paul, Minnesota.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Forest Supervisor, Superior National Forest, Box 332, Duluth, Minnesota 55801. Telephone: (218) 727-6692. Director, Minnesota Division of Forestry, Centennial Office Building, Box 44, St. Paul, Minnesota 55155. Telephone: (612) 296-4484.

**Headquarters Office:** Deputy Chief, State and Private Forestry, Forest Service, Department of Agriculture, P.O. Box 2417, Washington, DC 20013. Contact: W.T. Svenson, Cooperative Forestry Staff. Telephone: (202) 382-8515.

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.064, Forestry Incentives Program; 10.664, Cooperative Forestry Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Grant for accelerated planning, management, and technical assistance to accomplish the work reported under Program Accomplishments.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.700 NATIONAL AGRICULTURAL LIBRARY

**FEDERAL AGENCY:** NATIONAL AGRICULTURE LIBRARY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** 5 U.S.C. 5946; 7 U.S.C. 450b, 450i, 2201, 2202, 2204, 2206, 2244, 2264, 2265.

**OBJECTIVES:** To serve as the lead agency for the Department and the land-grant agricultural libraries providing information about agriculture and related sciences, food and human nutrition, and environmental affairs, to the agricultural research community, consumers, and the general public for their use and benefit.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Anyone can use the services. Publications in the library collection are available through interlibrary loan or photoreproduction, and the library facilities are open to anyone wishing to use them.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Apply by letter to Division of Lending, National Agriculture Library, Beltsville, MD 20705, or to Division of Reference (address as above).

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-0300-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $8,674,842; FY 82 est $8,279,000; and FY 83 est $9,016,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Resources number approximately 1,700,000 volumes.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Guide to the Services of the National Agricultural Library."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Educational Resource Division, National Agriculture Library, Beltsville, MD 20705. Telephone: (301) 344-3937 (Use same 7-digit number for FTS). Contact: Leila Moran.

**RELATED PROGRAMS:** 10.153, Market News; 10.250, Agricultural and Rural Economic Research; 10.950, Agriculture Statistical Reports; 10.001, Agricultural Research—Basic and Applied Research; 42.003, Distribution of Library of Congress Cataloging; 42.005, Library of Congress Publications; 42.006, Library of Congress Research Services; 42.007, Reference Services in Science and Technology.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# PACKERS AND STOCKYARD ADMINISTRATION

## 10.800 LIVESTOCK AND POULTRY MARKET SUPERVISION

### (Packers and Stockyards Act)

**FEDERAL AGENCY:** PACKERS AND STOCKYARDS ADMINISTRATION

**AUTHORIZATION:** Packers and Stockyards Act, 1921, as amended; Public Law 67-51; 42 Stat. 159; 7 U.S.C. 181 et seq.

**OBJECTIVES:** To protect producers and consumers against unfair business practices in the marketing of livestock, meat and poultry; and members of the livestock marketing and meat and poultry industries against unfair, deceptive, discriminatory, and monopolistic practices of competitors.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The assistance is designed to maintain fair and competitive conditions in the livestock, poultry, and meat industries and return to producers fair market value for their products. Reparation awards for money damages can be granted against stockyard owners or operators, livestock commission men, or dealers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person may file a complaint alleging an illegal practice by a meatpacker, stockyard owner or operator, livestock commission man, livestock dealer, or live poultry dealer or handler.

**Beneficiary Eligibility:** All producers of livestock or poultry, all persons involved in the marketing, slaughtering, processing, or handling of livestock, poultry, or meat, and all consumers of meat and poultry or their products.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Complaints may be submitted orally or in writing to the Washington, DC or field offices.

**Award Procedure:** Not applicable.

**Deadlines:** There are no deadlines for filing complaints except that reparation complaints seeking awards of damages must be filed within 90 days after the cause of action occurs.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** If an award is made and the defendant does not comply, the complainant may file an action in a U.S. District Court or State court within one year from the date of the Secretary's order.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2500-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $8,838,000; FY 82 est $8,806,000; and FY 83 est $8,564,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** (Stockyards posted) Fiscal year 1981, 1,782; fiscal year 1982, estimate, 1,713; fiscal year 1983, estimate, 1,713. (Scales covered) Fiscal year 1981, 5,140; fiscal year 1982, estimate, 5,000; fiscal year 1983, estimate, 5,000. (Investigations) Fiscal year 1981, 2,486; fiscal year 1982, estimate, 2,364 fiscal year 1983, estimate, 2,364. (Packers covered) Fiscal year 1981, 6,400; fiscal year 1982, estimate, 6,300; fiscal year 1983, estimate, 6,200.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Packers and Stockyards Act and Regulations, 7 U.S.C. 181 et seq.; 9 CFR 201.1; "The Packers and Stockyards Act- Fair Play in the Market Place," PA-1019; "The Packers and Stockyards Resume"; "Livestock Payment- Guidelines for Producers." PA-923; "Accurate Weights - Guidelines for Weighing Livestock," PA-986. There is no charge for these publications.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Complaints may be filed with Packers and Stockyards Regional Office listed in Appendix IV of the Catalog under Agricultural Marketing Service.

**Headquarters Office:** Administrator for Packers and Stockyards Administration, Room 3039, South Building, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-7051 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.154, Market Supervision and Assistance; 10.475, Cooperative Agreements with States for Intrastate Meat and Poultry Inspection; 10.477, Meat and Poultry Inspection; 13.678, Consumer Affairs; 36.001, Fair Competition Counseling and Investigation of Complaints. Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.850 RURAL ELECTRIFICATION LOANS AND LOAN GUARANTEES

### (REA)

**FEDERAL AGENCY:** RURAL ELECTRIFICATION ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Titles I and III of the Rural Electrification Act of 1936, as amended; 7 U.S.C. 901-916, and 930-940.

**OBJECTIVES:** To assure that people in eligible rural areas have access to electric services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Long-term, insured loans to qualified organizations for the purpose of supplying central station electric services on a continuing basis in rural areas. REA also guarantees non-REA loans for the same purpose.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Rural electric cooperatives, public utility districts, power companies, municipalities, and other qualified power suppliers including those located in the U.S. Territories.

**Beneficiary Eligibility:** Persons in rural areas not receiving central station electric service, and those presently served through REA financing. Rural areas are defined in the Rural Electrification Act as any area of the United States not included within the boundaries of any city, village, or borough having a population in excess of 1,500 inhabitants. Such term shall be deemed to include both the farm and nonfarm populations.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required.

**Application Procedure:** Application for an insured loan is made by resolution of the board of directors of the borrowing organization. Information on submitting applications is contained in published REA Bulletin Nos. 20-2, 20-6, 20-14 and 24-1. Applications for guaranteed loans will in general follow the same procedure.

**Award Procedure:** The REA Administrator makes the final decision on approval of the loan or loan guarantee upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through the nation's press.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Average is between 3 and 6 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Under certain conditions, obtaining an REA insured electric loan will require obtaining a concurrent loan (of 10, 20, or 30 percent of the total amount required) from a supplemental financing source. The statistical factor used for eligibility is any area of the United States not within the boundaries of any city village or borough having a population over 1500 (farm and nonfarm) and the source is the 1980 Decennial Census. The statistical factors used for fund allocation do not apply to this program.

**Length and Time Phasing of Assistance:** Insured loans are generally made for 35 years. Provision is normally made for advances to be completed within 3 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-REA lender, subject to REA approval.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** REA borrowers must submit to the Rural Electrification Administration regularly scheduled operating reports showing financial condition and operating progress.

**Audits:** Each REA borrower has its books audited annually by a certified public accountant.

**Records:** REA borrowers keep the records prescribed for utility companies by the REA uniform system of accounts, and by sound business practices.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4230-0-3-271.

**Obligations:** (Insured loans) FY 81 $850,000,000; FY 82 est $850,000,000; and FY 83 est $625,000,000. (Guaranteed loans) FY 81 $4,994,960,000; FY 82 est $4,100,000,000; and FY 83 est $3,615,000,000.

**Range and Average of Financial Assistance:** (Insured loans) $250,000 to $25,000,000; $2,500,000. (Guaranteed loans) $5,000,000 to $1,500,000,000; $500,000,000.

**PROGRAM ACCOMPLISHMENTS:** On December 31, 1981, REA electric borrowers were serving about 9,850,000 consumers over approximately 2,014,000 miles of line. REA borrowers expect to add another 300,000 consumers and 35,000 miles of line in calendar year 1982. In calendar year 1981, REA-financed electric systems had total sales of about 164 billion kilowatt hours. This figure is expected to increase to almost 170 billion in calendar year 1982. In fiscal year 1981, REA received 441 applications for financing, and made 355 insured loans and 34 guarantee commitments, some against applications received in prior years.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR XVII. REA publishes and issues free upon request bulletins bearing on the financing, construction operation and maintenance of rural electric systems. Also available are annual statistical summaries, free; and Rural Electrification Act of 1936, as amended, free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Rural Electrification Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-9540 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.851 RURAL TELEPHONE LOANS AND LOAN GUARANTEES

### (REA)

**FEDERAL AGENCY:** RURAL ELECTRIFICATION ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Titles II and III of the Rural Electrification Act of 1936, as amended; 7 U.S.C. 921, 922-924, and 930-940.

**OBJECTIVES:** To assure that people in eligible rural areas have access to telephone service comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Long-term insured loans to qualified organizations for the purpose of supplying and improving telephone service in rural areas. REA also guarantees non-REA loans for the same purpose. "Rural area" is defined as any area of the United States not included within the boundaries of any city, village, or borough having a population in excess of 1,500 inhabitants. Rural areas include both farm and nonfarm populations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Telephone companies or cooperatives, nonprofit associations, limited dividend associations, mutual associations or public bodies including those located in the U.S. Territories.

**Beneficiary Eligibility:** Residents of rural areas, and others who may also receive telephone service as a result of service provided to a rural area.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant must suppply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required.

**Application Procedure:** Application is submitted on REA Form 490, Application for Telephone Loan or Loan Guarantee. Detailed information on applying for an REA telephone loan or loan guaranty is in REA Bulletin 320-1 for cooperatives and 320-4 for other applicants. REA Bulletins on Pre-Loan Procedures, available from REA upon request.

**Award Procedure:** The REA Administrator makes the final decision on approval of the loan or loan guarantee upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through the nation's press.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal loan processing time is from 2 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Under certain conditions, obtaining an REA telephone loan will require obtaining a concurrent rural telephone bank loan (see program 10.852). The statistical factor used for eligibility is any area of the United States not within the boundaries of any city village or borough having a population over 1500 (farm and nonfarm). The source is 1980 Decennial Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** Insured loans are generally made for 35 years. Provision is normally made for advances to be completed within 3 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-REA lender, subject to REA approval.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** REA borrowers must submit to the Rural Electrification Administration regularly scheduled operating reports showing financial condition and operating progress.

**Audits:** Each REA borrower has its books audited annually by a certified public accountant.

**Records:** REA borrowers keep the records prescribed for telephone companies by the State regulatory body having jurisdiction, or by the Federal Communications Commission if there is no such regulatory body.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4230-0-3-271.

**Obligations:** (Insured loans) FY 81 $249,788,000; FY 82 est $250,368,000; and FY 83 est $75,000,000. (Guaranteed loans) FY 81 $136,367,000; FY 82 est $145,000,000; and FY 83 est $145,000,000.

**Range and Average of Financial Assistance:** (Insured Loans) $200,000 to $10,000,000; $3,000,000. (Guaranteed loans) $10,000,000 to $40,000,000; $15,000,000.

**PROGRAM ACCOMPLISHMENTS:** At the end of calendar year 1981, REA-financed telephone borrowers were serving about 4,625,000 rural subscribers. It is estimated that this will increase by the end of calendar year 1982 to 4,838,000 subscribers. REA received 172 financing applications in fiscal year 1981 and made 85 insured loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR-XVII. REA publishes and issues upon request technical operations manuals and bulletins covering financing, construction, operation and maintenance of rural telephone systems. Also available are annual statistical summaries, free; and Rural Electrification Act of 1936, as amended, free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Administrator, Rural Electrification Administration, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-9540 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.852, Rural Telephone Bank Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.852 RURAL TELEPHONE BANK LOANS

### (Rural Telephone Bank)

**FEDERAL AGENCY:** RURAL ELECTRIFICATION ADMINISTRATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Title IV of Rural Electrification Act of 1936, as amended; 7 U.S.C. 921a, 921b and 941-950b.

**OBJECTIVES:** To provide supplemental financing to extend and improve telephone service in rural areas.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Long-term loans to qualified organizations for supplying and improving telephone service in rural areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Borrowers, including those located in the U.S. Territories, which have received a loan or loan commitment under Section 201 of Rural Electrification Act or which have been certified by the administrator as qualified to receive such a loan, are eligible to borrow from the Rural Telephone Bank.

**Beneficiary Eligibility:** Residents of rural areas, and others who receive telephone service resulting from service provided to rural areas.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required.

**Application Procedure:** Submit application on REA Form 490, Application for Telephone Loan or Loan Guarantee. Detailed information for applying is in the REA Bulletin on Pre-Loan Procedures, Bulletin 320-1 for cooperatives and 320-4 for other applicants, available from REA upon request. This is the same procedure used when applying for an REA telephone loan.

**Award Procedure:** The Governor of the Rural Telephone Bank (who is also the Administrator of REA) makes the final decision, based upon a finding that the loan is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of loan approval directly, and the public is notified through the nation's press.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 2 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Under certain conditions, obtaining a Rural Telephone Bank loan will require obtaining a concurrent REA telephone loan. The statistical factor used for eligibility is any area of the United States not within the boundaries of any city village or borough having a population over 1500 (farm and nonfarm) and the source is the 1980 Decennial Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** Loans are generally made for 35 years. Provision is normally made for advances to be completed within 3 years, but this period is subject to extension if required. Advances of loan funds are made as required by the borrower.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each bank loan recipient must submit to REA regularly scheduled operating reports showing financial condition and operating progress.

**Audits:** Books must be audited annually by a certified public accountant.

**Records:** Each recipient must keep records prescribed for telephone companies by the State regulatory body having jurisdiction, or by the Federal Communications Commission if there is no such regulatory body.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-4231-0-3-452.

**Obligations:** (Loans) FY 81 $185,000,000; FY 82 est $185,000,000; and FY 83 est $185,000,000.

**Range and Average of Financial Assistance:** $250,000 to $15,000,000; $4,000,000.

**PROGRAM ACCOMPLISHMENTS:** Seventy-eight loans were made during fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** To the extent possible, the Rural Telephone Bank will be covered by regulations, guidelines, and literature of the Rural Electrification Administration telephone loan program. REA publishes and issues upon request technical operations manuals and bulletins covering financing, construction, operation, and maintenance of rural telephone systems. There are available annual statistical summaries (free); and Rural Electrification Act as amended (free).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Governor, Rural Telephone Bank, Department of Agriculture, Washington, DC 20250. Telephone: (202) 382-9540 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.851, Rural Telephone Loans and Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.900 GREAT PLAINS CONSERVATION

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil Conservation and Domestic Allotment Act, Public Law 74-46, as amended by the Great Plains Act of August 7, 1956, Public Law 84-1021, and Public Law 86-793, approved September 14, 1960, and Public Law 91-118 approved November 18, 1969, and Public Law 96-263, approved June 6, 1980.

**OBJECTIVES:** To conserve and develop the Great Plains soil and water resources by providing technical and financial assistance to farmers, ranchers, and others in planning and implementing conservation practices.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Cost-share funds are available only for soil and water conservation measures determined to be needed to protect and stabilize a farm or ranch unit against climatic and erosion hazards of the Great Plains area, and applied in accordance with a conservation plan for the entire operating unit. At the options of the producer, auxiliary features may be included in the plan for agriculture-related pollution abatement, enhancement of fish, wildlife, and recreational resources, and promotion of economic use of land.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must have control of the land for the period of the contract running from a minimum of 3 years to a maximum of 10 years.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence that applicant has control over land on which he wishes to enter into contractual arrangement and has an adequate plan of farming operation or land use which incorporates needed soil and water conservation practices.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Soil and water conservation district (subdivision of State government).

**Application Procedure:** Application is made to the Soil Conservation Service district conservationist serving the county in which the operating unit is located. The application is submitted on Form GP-1 (Rev.), Application for Participation in Great Plains Conservation Program.

**Award Procedure:** The area conservationist serving the multi-county area in which the participating county is located is the contracting officer as representative of the Secretary of Agriculture. He is responsible for the technical adequacy of the conservation plan and the legal sufficiency of the contract. The contract is not valid until the SCS State administrative officer certifies that funds are available.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Timing of application servicing depends on volume of applications, backlog of pending applications, and SCS staff assistance available for development of contracts.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost-sharing to participant ranges for specified conservation practices from 80 percent of the cost (in the case of work most urgently needed to stabilize lands in the Great Plains area) to 50 percent for practices where need is less urgent.

**Length and Time Phasing of Assistance:** Contract period runs from a minimum of 3 years to a maximum of 10 years. Obligations for assistance are tied to a long-term contract detailing the 3 to 10 year schedule in which needed land use changes and conservation practice installation will be made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** No reports. SCS and the land owner or operator make an annual contract status review which includes maintenance of completed contract items, need for deletion or addition of contract items, etc.

**Audits:** SCS makes periodic random on-site reviews of the quality and quantity of the application and maintenance of contract items.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-2268-0-1-302.

**Obligations:** (Direct payments) FY 81 $17,793,946; FY 82 est $12,063,216; and FY 83 est $6,277,000; (Salaries and expenses, and other) FY 81 $8,777,177; FY 82 est $9,554,000; and FY 83 est $9,031,000.

**Range and Average of Financial Assistance:** Up to $35,000 per land owner or operator over a contract period running from 3 to 10 years; average FY 81 $16,268; FY 82 est $16,268.

**PROGRAM ACCOMPLISHMENTS:** The 1981 contracts covered 2,108,000 acres with cost share obligations of $11,794,000. The program is now operating in 518 counties in 10 states.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "An Expanded Great Plains Conservation Program for the 1970's," PA-960; "The Great Plains Conservation Program- A Progress Report," PA-669; "What the Soil Conservation Service Does," SCS-CI-3. 7 CFR 631. Regulations in Federal Register Vol. 40, No. 223, page 53370, November 18, 1975.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State conservationists for the Soil Conservation Service in the 10 Great Plains States where the program operates (Montana, North Dakota, South Dakota, Wyoming, Colorado, Nebraska, Kansas, New Mexico, Oklahoma, and Texas). See address Appendix IV district conservationists for SCS in the 518 counties where the program operates.

**Headquarters Office:** Deputy Chief for State and Local Operations, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-7145 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.902, Soil and Water Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.901 RESOURCE CONSERVATION AND DEVELOPMENT

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil Conservation Act of 1935; Public Law 74-46 and Bankhead-Jones Farm Tenant Act; Public Law 75-210; as amended by Public Law 89-796; Public Law 87-703; Public Law 91-343; and Public Law 92-419; Public Law 97-98, 95 stat. 1213.

**OBJECTIVES:** To assist local people in initiating and carrying out long-range program of resource conservation and development for purposes of achieving a dynamic rural community with satisfactory level of income and pleasing environment, and creating a favorable investment climate attractive to private capital.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Technical and financial assistance is available only for RC&D areas authorized for assistance. Technical and financial assistance is available for the planning and installation of approved measures specified in RC&D area plan serving purposes such as flood prevention, sedimentation and erosion control, public water based recreation and fish and wildlife developments, agricultural water management purposes, water quality management, control and abatement of agriculture-related pollution.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments and nonprofit organizations with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas. This program is available in Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant agency(ies) must document fact that application is made as result of official action of the governing body. Applications are honored only from agencies for which applicant eligibility as shown above is or has been established. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State, metropolitan, or regional planning and development clearinghouses, and Governor of State, or State agency designated by the Governor to handle Resource Conservation and Development program applications. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for measures where Federal costs will exceed $100,000. The need for preparing environmental impact statements for measures is determined on an individual measure basis after evaluating whether they are likely to significantly affect the quality of the environment.

**Application Procedure:** Written application in the form suggested in the Resource Conservation and Development Handbook.

**Award Procedure:** Details of the procedure are available from State and field offices of the Soil Conservation Service. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Indeterminate. Dependent upon rate of receipt of applications, and annual rate at which approval may be made as directed by committees of Congress in acting on appropriations for the U.S. Department of Agriculture.

**Appeals:** Not applicable to application for RC&D area assistance.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Local or State agencies must provide land rights needed for the installation of all measures. RC&D assistance may be provided for up to 100 percent of construction costs of flood prevention measures. Local or State agencies generally must provide for 50 percent of construction costs of agriculture water management, fish and wildlife and recreational structures, and must provide for operation and maintenance, and for all needed water rights. Loan assistance may be provided for the local share of measure cost. See Farmers Home Administration Program 10.414 "Resource Conservation and Development Loan."

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic inspections and reports to insure that structural measures for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements.

**Audits:** SCS makes periodic random and on-site reviews of the quality and quantity of the installed works of improvement and reviews all planning on a regular basis.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1010-0-1-302.

**Obligations:** (Grants, salaries and expenses) FY 81 $33,989,862; FY 82 est $26,494,592; and FY 83 est $10,312,000.

**Range and Average of Financial Assistance:** Per State $21,000 to $1,400,000; average $275,000.

**PROGRAM ACCOMPLISHMENTS:** SCS technicians as of September 30, 1981, were giving assistance to 194 Resource Conservation and Development areas. The combined 194 areas are over 829 million acres. Completed measures planned by local citizens to improve the economy and quality of living in RC&D areas totaled 25,373 as of September 30, 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:**" Assistance available from the Soil Conservation Service," AIB-345; "Community Improvement Through Resource Conservation and Development," SCS-PA-1077; RC&D For Your Community," SCS-PA-1201; Proposed Regulations in Vol. 39, No. 179, Page 33004-33008 of Federal Register, September 13, 1974.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State and field offices of the Soil Conservation Service listed in Appendix IV of the Catalog. For loans, contacts should be made with the Farmers Home Administration Office serving the county in which the RC&D measure is located.

**Headquarters Office:** Deputy Chief for Natural Resource Projects, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-4527 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.414, Resource Conservation and Development Loans; 10.902, Soil and Water Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Montana - Rodeo Ranchettes Critical Area Treatment: Severe streambank erosion (up to 50 feet in places) along about 4,000 feet of the Bitterroot River, fronting on an area of existing rural homes and potential homesites, was one problem brought to the attention of sponsors of the Bitterroot RC&D Area. As a result, the Missoula Conservation District and Missoula County Commissioners sponsored a measure to correct the problem. With the stabilization of the critical areas, rural residents can now feel safe and secure. Downstream water quality has been improved, recreation opportunities have been enhanced, and fish and wildlife resources are protected from sedimentation damages. Mississippi - Jonestown Flood Prevention and Drainage (Northwest Mississippi RC&D Area): About 60 homes in the small rural town of Jonestown, Mississippi, (population about 900) have a history of frequent flooding. Due to the protection provided by this measure, none of these homes were flooded during the heavy rainstorms of 1974-1975. Sponsors were Coahoma County Soil and Water Conservation District and Jonestown. Cost-sharing assistance was provided through the Northwest Mississippi RC&D Area. Oregon - Nursery Bridge Diversion and Highline Canal Pipe Drop: This work provides for reliable and efficient delivery of irrigation water to 7,000 acres on 300 farms. The improvement will also prevent erosion, sedimentation, water loss, and drainage problems. Sponsors of the Columbia-Blue Mountain RC&D Area provided cost-sharing funds. West Virginia - Stumpy Bottom Flood Prevention: A 47-acre area near the city of Princeton is now protected. The area contains homes, business, and small industry. Open spaces can now be made attractive and useable as play areas without the problem of pools of stagnant water good only for breeding mosquitoes and as a source of pollution. Because of the protection provided by technical and financial assistance of the Mountain-Dominion RC&D Area, a wood preserving plant, employing 10 men, has been established in this area. South Carolina - Hampton Group Flood Prevention and Drainage: Hard work and good planning have benefited 10 families in the Dabbs Crossroads section of Sumter County. Assistance to these families was provided by the sponsors of the Santee-Wateree RC&D Area, including Sumter County Commissioners and the Sumter County Soil and Water Conservation District. Their homes are now safe from flooding, gardens are again productive, and flooded and muddy roads are no longer a problem.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals for measures are judged on relevance of the measure to the RC&D area plan's goals and objectives. Criteria for setting priorities are usually published in the RC&D area plan or are available from the local sponsors of the RC&D area.

## 10.902 SOIL AND WATER CONSERVATION

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil Conservation and Domestic Allotment Act as amended; Public Law 74-46, approved April 27, 1935.

**OBJECTIVES:** To plan and carry out a national soil and water conservation program, and to provide leadership in conservation, development, and productive use of the nation's soil, water, and related resources.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Technical assistance to individuals and groups, in planning and applying soil and water conservation practices and treatment; and furnishing technical soil and water conservation resource information to units of government.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owners and operators of private lands, units of State, county, and local government, zoning and planning bodies, etc. Units of government usually review resource assistance needed informally with the conservation district governing body. Individuals and groups usually become cooperators with local conservation districts to which application for assistance is directed. Applicants are also eligible in Puerto Rico, the Virgin Islands, and Western Pacific U.S. Trust Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the local Soil Conservation Service office in nearly all counties.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1000-0-1-302.

**Obligations:** (Salaries and expenses) FY 81 $233,980,007; FY 82 est $234,183,942; and FY 83 est $250,460,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Provided 2,100,000 technical services to 840,000 landowners and land users in fiscal year 1981. Responses to requests for assistance from State and local units of government and their agencies totaled 103,333.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Know the Soil You Build On", AIB 320; "Assistance Available from the Soil Conservation Service," AIB345; "Warm-Water Fishponds," FB2250; "Controlling Erosion on Construction Sites," AIB347; "Building A Pond," FB2256; "Community Improvement Through Resource Conservation and Development," PA1077; "Our American Land," AIB321. "Sediment," AIB325; "List of Published Soil Surveys;" "America's Soil and Water: Conditions and Trends", SB461; "A Conservation Plan for Developing Areas," PA 1029; "What is a Farm Conservation Plan?", PA 629; "What is a Ranch Conservation Plan?", PA 637.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State and local Soil Conservation Service offices (see Appendix IV) of the Catalog).

**Headquarters Office:** Deputy Chief For State And Local Operations, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-7145 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.054, Emergency Conservation Program; 10.062, Water Bank Program; 10.063, Agricultural Conservation Program; 10.408, Grazing Association Loans; 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.414, Resource Conservation and Development Loans; 10.416, Soil and Water Loans; 10.419, Watershed Protection and Flood Prevention Loans; 10.500, Cooperative Extension Service; 10.900, Great Plains Conservation; 10.901, Resource Conservation and Development; 10.903, Soil Survey; 10.904, Watershed Protection and Flood Prevention; 10.905, Plant Materials for Conservation; 10.906, River Basin Surveys and Investigations; 10.907, Snow Survey and Water Supply Forecasting; 10.910, Rural Abandoned Mine Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.903 SOIL SURVEY

**FEDERAL AGENCY: SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE**

**AUTHORIZATION:** Soil surveys were authorized by appropriation acts dating back to 1896 and Public Laws 74-46, 1935, and 89-560, 1966.

**OBJECTIVES:** To provide published soil surveys of counties or other comparably sized areas for widespread use by interested agencies, organizations, and individuals.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Soil surveys are for planners, engineers, zoning commissions, tax commissions, homeowners, farmers, ranchers, developers, and land owners and operators who use them to locate soils suitable for homesites, subdivisions, commercial and industrial sites, farms, wildlife and recreational areas, prime agricultural land, highways, and airports.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All individuals and groups that have a need for soil surveys are eligible to receive this document by contacting the local Soil Conservation Service Office.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicants may request information from local office of the Soil Conservation Service, Soil Conservation Districts; Extension Service; the State office of the Soil Conservation Service; State Agricultural Experiment Station; and, from Senators and Congressmen. Local units of government - submit requests to State Conservationist, Soil Conservation Service, see address appendix in the Catalog; Soil Conservation District (SCD) cooperators: submit requests to SCD board of supervisors.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1000-0-1-302.

**Obligations:** (Salaries and expenses) FY 81 $48,047,802; FY 82 est $49,619,811; and FY 83 $52,614,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 60,354,913 acres of soil surveys were completed, bringing the total to 1,570,354,913 acres.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "List of Published Soil Surveys;" "Know the Soil You Build On," AIB 320; "Know Your Soil," AIB 267; "Soil Surveys Can Help You," PA-1054. Available from Information Division, SCS-USDA, P.O. Box 2890, Washington, DC 20013, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State and local offices of the Soil Conservation Service. See Appendix IV of the Catalog.

**Headquarters Office:** Deputy Chief For Natural Resource Assessments, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-3905 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.904 WATERSHED PROTECTION AND FLOOD PREVENTION

### (Small Watershed Program; PL-566 Program)

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Watershed Protection and Flood Prevention Act; Public Law 83-566; 68 Stat. 666; Public Law 84-1018; 70 Stat. 1088; Public Law 85-624; 72 Stat. 563; Public Law 85-865; 72 Stat. 1605; Public Law 86-468; 74 Stat. 131, 132; Public Law 86-545; 74 Stat. 254; Public Law 87-170; 75 Stat. 408; Public Law 87-703; 76 Stat. 608; Public Law 89-337; 79 Stat. 1300; Public Law 90-361; 82 Stat. 250; Public Law 92-419; 86 Stat. 667; Public Law 95-113; 91 Stat. 913; Public Law 97-98, 95 Stat. 1213.

**OBJECTIVES:** To provide technical and financial assistance in planning and carrying out works of improvement to protect, develop, and utilize the land and water resources in small watersheds.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Assistance is provided in planning, designing, and installing watershed works of improvement; in sharing of costs of measures for flood prevention, irrigation, drainage, sedimentation control, and public water based fish and wildlife recreation and watershed protection; and in extending long term credit to help local interests with their share of the costs. Watershed area must not exceed 250,000 acres. Capacity of a single structure is limited to 25,000 acre-feet of total capacity and 12,500 acre-feet of floodwater detention capacity. See also Farmers Home Administration program 10.419, Watershed Protection and Flood Prevention Loans.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applications must designate the proposed project area, be properly signed and attested to by all applicants, set forth the need for the proposed project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Potential applicants must notify State(s) planning and development clearinghouses that they intend to apply for assistance. Up to 60 days is allowed for review. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact statements required for all Public Law 83-566 projects and Public Law 78-534 subwatershed projects approved for operations after January 1, 1970 which on the basis of environmental evaluations are determined to be major Federal actions significantly affecting the environment. In projects approved before January 1, 1970, need for environmental impact statements decided on case-by-case basis - those with channel modification generally require statements.

**Application Procedure:** Application forms and information are available in all SCS offices and from designated State agencies.

**Award Procedure:** Details of the procedure are available from the State and field offices of the Soil Conservation Service. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Technical and financial assistance under which program funds provide certain prescribed services and costs and a percentage of other costs on the basis of a contract varying according to purpose of the works of improvement. For example, for construction costs under the Act, program funds may pay 100 percent for flood prevention; up to 50 percent of agricultural water management, public recreation and fish and wildlife purposes; and none of the costs for certain other nonagricultural water management purposes. All of the applicants' installation costs are eligible for program loans. Reimbursable advances are available for preservation of sites and future municipal water supply.

**Length and Time Phasing of Assistance:** Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Federal assistance for planning is provided as it becomes available, and leads to preparation of a watershed work plan which sets forth the works of improvement, the general time schedule, and other arrangements for their installation.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual operation and maintenance inspection and report.

**Audits:** Annual audits are required after the system goes into operation.

**Records:** Records of operation and maintenance activities are maintained for the life of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** Watershed and flood prevention operations, 12-1072-0-1-301; Watershed planning, 12-1066-0-1-301.

**Obligations:** (Grants and salaries and expenses-watershed and flood prevention operations) FY 81 $179,739,549; FY 82 est $206,777,136; and FY 83 est $107,721,000. (Salaries and expenses-watershed planning) FY 81 $10,572,140; FY 82 est $8,816,524; and FY 83 $9,152,000.

**Range and Average of Financial Assistance:** (per state) $300 to $13,000,000; average $1,800,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 25 projects were approved for planning. A total of 443 projects were at some stage in construction. Projects with construction completed under the program totaled 569.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Soil Conservation Service What It Is and What It Does," SCS-CI-9; "Local-State-Federal Watershed Projects," SCS-CI-4; "Multiple-Purpose Watershed Projects," PA-575; "Lets Grow", "Community Benefits from Watershed Projects," Agriculture Information Bulletin 337; "For the Fun of It... And Then Some.", PA-1060.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For list of SCS State offices with telephone numbers and addresses, see address Appendix IV of the Catalog.

**Headquarters Office:** Deputy Chief for Natural Resource Projects, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-4527 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 10.419, Watershed Protection and Flood Prevention Loans; 10.664, Cooperative Forestry Assistance; 10.902, Soil and Water Conservation; 10.903, Soil Survey; 10.905, Plant Materials for Conservation; 10.906, River Basin Surveys and Investigations;

10.907, Snow Survey and Water Supply Forecasting; 12.104, Flood Plain Management Services.

**EXAMPLES OF FUNDED PROJECTS:** To date Federal assistance for installation has been authorized on 1239 watershed projects. Following are five examples of projects that have been completely installed: 1) Escondido Creek, California 2) Upper Elk River Watershed, Kansas. 3) Paint Creek Watershed, Oklahoma 4) Bradley Brook Watershed, Massachusetts. 5) Castleman Creek, Texas.

**CRITERIA FOR SELECTING PROPOSALS:** 1) The watershed must meet the requirements of the law. 2) The governor or his representative must recommend the watershed for planning assistance. 3) It should be evident that problems can be solved by project action under authority of Public Law 83-566. 4) The local sponsors should have authority under State statutes to carry out their responsibility for installation and operation and maintenance of project measures. 5) The local sponsors should indicate willingness to carry out a watershed project. 6) The project should have good prospects for a favorable benefit-cost ratio. 7) No critical environmental issues. 8) Available capabilities and resources to develop a watershed plan.

## 10.905 PLANT MATERIALS FOR CONSERVATION

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil Conservation and Domestic Allotment Act; Public Law 74-46. Approved April 27, 1935.

**OBJECTIVES:** To assemble, evaluate, select, release, and introduce into commerce, and promote the use of new and improved plant materials for soil, water, and related resource conservation and environmental improvement programs.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Plant materials are used in all phases of the soil and water conservation program. Plant materials centers produce only enough of any variety for field testing to prove value in conservation on cooperators properities and to provide commercial producers with breeder and foundation quality seed or propagules. Large-scale production is conducted by cooperating commercial producers in conjunction with Soil Conservation Districts, State Agricultural Experiment Stations, State Crop Improvement Associations and other Federal and State agencies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Cooperating State and Federal agencies and cooperators of conservation districts interested in field testing plants for conservation purposes and commercial seed growers and nurserymen interested in the production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Contact the local Soil Conservation Service office.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1000-0-1-302.

**Obligations:** (Salaries and expenses) FY 81 $3,435,236; FY 82 est $3,570,333; and FY 83 est $3,781,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Over 150 varieties of grasses, legumes, and shrubs and trees are readily available for conservation purposes through this program. Uses include erosion control and sediment reduction, roadside and streambank protection, surface-mined land reclamation, wildlife food and cover, and beautification. The annual commercial production of SCS released grasses, legumes and woody plants by commercial seed growers and nurserymen is equivalent to the amount required to establish vegetative cover on over 1,700,000 acres of land.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Grass Seed Production and Harvest in the Great Plains, "FB 2226; "Building, Planting and Maintaining Sand Dumes," L 42; "Grasses and Legumes for Soil Conservation in the Pacific Northwest and Great Basin States," AH 339. "Conservation Plants for the Northeast, SCS, USDA Program Aid No. 1154; "Plant Performance on Surface Coal Mine Spoil in the Eastern United States, "SCS TP 155; "Plant Materials For Conservation," SCS Program Aid No. 1219; "Plant Materials For Use On Surfaced Mined Land in Arid and Semiarid Regions," SCS TP 157; "New Plants For Conservation," SCS Environmental Quality Aid.

**INFORMATION CONTACTS:**

**Regional or Local Office:** National Service Centers, SCS State offices and field offices. See Appendix IV.

**Headquarters Office:** Deputy Chief For Technology Development And Application, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-4630 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.906 RIVER BASIN SURVEYS AND INVESTIGATIONS

### (River Basin Program)

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Watershed Protection and Flood Prevention Act; Public Law 83-566, as amended, Section 6.

**OBJECTIVES:** To assist Federal, State, and local agencies in collecting decision making information regarding water and related land resources with the specific objective of improving national economic development Studies are carried out in cooperation with State, Federal, and local agencies. Special priority is given to solving erosion and sedimentation, flooding and agricultural water management problems. protecting and improving important farmlands, wetlands, flood plains, and other special resources; are secondary objectives. Another specific objective is to assist local governments develop a local flood plain management program by identifying flood hazards and other flood plain resources.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Availability and quality of land and water resources are determined; needs for water related goods and services are estimated and converted into requirements for water and related land resources; capability of available water and related land resources to meet these needs is determined both under present levels and potential levels of development; and the nature of feasible program and project type developments is determined and their interrelationships established. Participation is limited to planning elements which are concerned with water and related land resources.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any local or State water resource agency or other Federal agency concerned with water and related land resource development. SCS participation is based on a cooperative effort with another agency or agencies. Local entity must have a priority established for flood plain management study by the responsibile State coordinating agency. This program is also available in Puerto Rico and the Virgin Islands. available in Puerto Rico and in the Virgin Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility. Benefits are realized in terms of opportunities and alternatives which can serve as a basis for decision making. No direct monetary benefits accrue except in more efficient program and resource management.

**Credentials/Documentation:** Requests designate the proposed study area, describe the basic study objective, and indicate joint participation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Letter of request addressed to Secretary of Agriculture; Chief, Soil Conservation Service; or State Conservationist, Soil Conservation Service. Local governments requesting flood plain management studies apply to State Conservationist, Soil Conservation Service.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Receipt of request is acknowledged when received by Chief, Soil Conservation Service, or State Conservationist, as appropriate.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Technical planning services are provided with Federal program funds. Interdepartmentally coordinated studies carried out under the aegis of the Water Resources Council are funded through coordinated Federal agency budgets. State participation is funded by the States concerned. Cooperative studies are funded with each cooperating agency, State and Federal, funding its own participation. Extent of participation and resultant funding are defined in a plan of work which establishes the basis for the cooperative study effort. Local and/or State governments are requested to share in the direct cost of carrying out all studies.

**Length and Time Phasing of Assistance:** The length of the study is defined in the plan of work. It is subject to some modification, depending on the availability of funds to each of the cooperating agencies. Federal assistance for planning is provided as rapidly as possible depending on availability of funds, Congressional limits on new study starts, and competent personnel resources. Sponsors are encouraged to focus their cooperative studies on a limited number of critical problems of special concern nationally such as flood damage reduction and erosion control. Short duration, low cost studies that support ongoing programs, particulary USDA programs, are encouraged.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports are prepared at the completion of each study.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1069-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $17,842,340; FY 82 est $15,638,100; and FY 83 $16,743,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** USDA has participated in 12 comprehensive framework surveys (Level A) to date and all have been completed. There have been 40 regional or river basin studies (Level B) funded to date. Five studies are underway and 35 are complete. Interdepartmental Level A and Level B studies are coordinated through the U.S. Water Resources Council. In addition, the Department has participated in 205 cooperative (Type 4) river basin surveys, since beginning in 1960. As of September 30, 1981, 146 cooperative studies have been completed and 5 terminated Eight studies were initiated in fiscal year 1981; 15 additional studies will be completed in fiscal year 1981. Other river basin activities include salinity control studies and flood plain management studies. Six salinity control areas are presently under study in the Colorado River Basin covering 1/2 million acres of irrigated farmland. These studies are being performed in cooperation with the Bureau of Reclamation. The Flood Plain Management Assistance Program, under which technical assistance is provided to local governments in implementing their flood plain management programs, is underway in 34 States. About 60 flood plain management studies are to be completed in fiscal year 1982. About 230 have been completed to date.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "What the Soil Conservation Service Does," SCS-CI-3; "Local-State-Federal Watershed Projects," SCS-CI-4; "Multiple-Purpose Watershed Projects," PA-575; National Basin and Area Planning Manual.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For list of SCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:** Deputy Chief For Natural Resource Projects, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-4527. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 12.110, Planning Assistance to States.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.907 SNOW SURVEY AND WATER SUPPLY FORECASTING

### (Snow Surveys)

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil Conservation and Domestic Allotment Act, Public Law 74-46, approved April 27, 1935.

**OBJECTIVES:** To provide information on forthcoming seasonal water supplies from streams that derive most of their run-off from snow melt. To help farm operators, rural communities and municipalities use water-supply forecasts in managing water resources. To provide hydrometeorologocal data for regulating reservoir storage and managing streamflow.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The information is used by the owners and operators of the 23,000,000 irrigated acres in the mountain States, the far west, and Alaska. The data are also used in the regulation of hundreds of small and large reservoirs for irrigation, flood control, power generation, recreation, industry and municipal supplies. Cooperators include 20 other Federal agencies, 34 State agencies, 15 municipalities and 88 other irrigation districts and water associations and private utilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** General public including those located in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Individuals can make requests for reports from SCS State offices which issued them and from the SCS Technical Service Center at Portland, OR.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1000-0-1-302.

**Obligations:** (Salaries and expenses) FY 81 $4,056,575; FY 82 est $3,676,901; and FY 83 $3,878,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,389 water supply forecasts were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Snow Surveys, AIB 302.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State and local offices of the Soil Conservation Service in Alaska, Arizona, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, and the SCS Technical Service Center, Portland, OR of the Catalog. See address appendix of the Catalog. California's Department of Water Resources, which coordinates and issues snow surveys for that State, and the British Columbia Department of Lands, Forests and Water Resources, supply data for the monthly west-wide summaries.

**Headquarters Office:** Deputy Chief For Natural Resource Assessments, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-4630 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.908 INVENTORY AND MONITORING

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil Conservation and Domestic Allotment Act; Public Law 74-46, April 27, 1935 Rural Development Act: Public Law 92-419, Section 302, Title III, August 30, 1972, and Resources Conservation Act; Public Law 95-192, November 18, 1977.

**OBJECTIVES:** To provide for the field collection, interpretation and publication of natural and related resource data. These data and interpretations serve many agency and department needs as well as those of individuals, groups, and units of government. They permit users to examine the relations and interactions of natural and related resources to determine how they are used and how they are managed, to define resource problems, and to identify resource potentials.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Inventories underway will provide data on prime, unique and other important farmlands that are used to carry out surface mining regulations, prepare environmental impact statements and appraise the rural lands that produce food, feed, forage, fiber, and oilseed crops for domestic use and export. Other inventories made on the status and condition of natural and related resources furnish data for resource analyses and evaluation, programming and planning at the State and national levels.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All individuals and groups that have a need for inventory data are eligible to receive this information including those located in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicants may request information from local office of the Soil Conservation Service, Soil Conservation districts and from the State offices of the Soil Conservation Service.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1000-0-1-302.

**Obligations:** (Salaries and expenses) FY 81 $17,052,948; FY 82 est $16,140,117; and FY 83 $19,810,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** A total of 736 County Important Farmland Inventory Maps, 16 State Prime Farmland Maps, a Potential Cropland Study (Statistical Bulletin 578), a Study of Shelterbelt Losses, Wind Erosion Condition Reports for the Great Plains States, and a series of resource inventories for each State, except Alaska, have been completed. This series includes statistical data on nonfederal land for land use, conservation treatment needs, sheet and rill erosion by water, erosion by wind in the Great Plains States, prime farmland, potential for new cropland, use of floodprone areas, wetland types 3 to 20, use of small water areas, the quality (capability) of the land, and estimates of roadside, gully, construction site, and streambank erosion.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State and local offices of the Soil Conservation Service. See Appendix IV of the Catalog.

**Headquarters Office:** Deputy Chief For Natural Resource Assessments, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-3905. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.902, Soil and Water Conservation; 10.903, Soil Survey.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 10.909 RESOURCE APPRAISAL AND PROGRAM DEVELOPMENT

### (Resources Conservation Act; RCA)

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Soil and Water Resources Conservation Act of 1977, Public Law 95-192, 16 U.S.C. 2001-2009, 91 Stat. 1407.

**OBJECTIVES:** To insure that USDA soil and water conservation programs administered by the Secretary of Agriculture are responsive to the long-term needs of the nation and will further the conservation, protection and enhancement of the nation's soil, water and related resources.

**TYPES OF ASSISTANCE:** Project Grants; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Costs incurred that directly relate to the implementation of Public Law 95-192 including appraisal of natural resources; development or updating conservation programs that utilize RCA-generated information; and for carrying out State and national level RCA activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Soil and water conservation agencies, Puerto Rico and Virgin Islands conservation districts, local conservation districts and other appropriate State natural resources agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Designated administering agency must be empowered by State law to enter into an RCA grant agreement with SCS State Conservationist. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit applications to SCS Headquarter Office. (see deadlines).

**Award Procedure:** A grant agreement approved by the SCS State Conservationist must be signed between the administering agency in the State and SCS. Funds are committed by the SCS State Conservationist. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants were not available in fiscal year 1980 or 1981. Decisions on availability of grants in FY 1982 and FY 1983 are pending. Contact the Deputy Chief for Planning and Evaluation, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013 or Telephone (202) 447-7705.

**Range of Approval/Disapproval Time:** 19 to 30 days.

**Appeals:** Not applicable.

**Renewals:** Renewals or extensions may be accomplished at any time by executing an amendment to the grant agreement between SCS and the administering agency.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants are based on the ability to address national conservation concerns that are within the scope of RCA. No State matching funds are required.

**Length and Time Phasing of Assistance:** Funds are available until expended. Regulations require administering agencies to report at the end of each fiscal year whether unexpended funds are scheduled for use. The grant agreements are fund-obligating documents. Funds will be provided by letter-of-credit, and advances of reimbusements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Only those reports required under OMB Circular No. A-102. Administering agencies are required to report to SCS Budget and Finance Division at the end of the fiscal year whether unexpended funds are scheduled for use in the following year.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Administering agencies are required to maintain records for three years. At a minimum they shall include financial records, supporting documents, statistical records and all other records pertinent to RCA in which SCS has a financial interest.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1000-0-1-302.

**Obligations:** (Grants) FY 81 est $0; FY 82 $0; and FY 83 est $0. (Salaries and expenses) FY 81 $5,548,981; FY 82 est $4,363,532; and FY 82 est $6,037,000.

**Range and Average of Financial Assistance:** Fiscal year 1979, $13,000 to $122,000; $45,000. Fiscal year 1980, $0; Fiscal year 1981, $0; Fiscal year 1982, $0.

**PROGRAM ACCOMPLISHMENTS:** At the national level, SCS is completing the recommendations for a national program, and statement of policy required by the Act. At State and local levels resource information is being collected, and State plans are being developed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Description for Soil Conservation Service activities for implementing the Soil and Water Resources Conservation Act of 1977 entered in the Federal Register, June 5, 1977. Soil and Water Resources Conservation Act National Manual, GPO stock number 001-007-00901-4. "1980 appraisal part I, soil, water and related resources in the United States: status, condition, and trends" GPO stock number 725-406/1115; "1980 appraisal part II, soil water and related resources in the United States: analysis of resource trends" GPO stock number 729-963/2172.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Soil Conservation Service State Offices. See Apendix IV of the Catalog.

**Headquarters Office:** Deputy Chief For Planning And Evaluation, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-7705 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals must provide for contribution to the national USDA Soil Water Conservation Program.

## 10.910 RURAL ABANDONED MINE PROGRAM (RAMP)

**FEDERAL AGENCY:** SOIL CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** Surface Mining Control and Reclamation Act of 1977, Section 406, Public Law 95-87, 30 U.S.C. 1236, 91 Stat. 460.

**OBJECTIVES:** To protect people and the environment from the adverse effects of past coal-mining practices and to promote the development of soil and water resources of unreclaimed mined lands.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Cost share funds are available only for conservation practices determined to be needed for the reclamation, conservation, and development of up to 320 acres per owner of rural abandoned coal mine land or lands and waters affected by coal mining activities. Practices must be applied in accordance with a reclamation plan and contract provisions. Practices are limited to those which will provide land stabilization, erosion and sediment control, and development of soil, water (excluding stream channelization), woodland, wildlife, recreation resources and the agricultural productivity of such lands.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals, groups or units of government who own or control the surface or water rights of abandoned coal land or lands, and water affected by coal mining practices before August 3, 1977. These areas are not eligible if: (1) there is continuing reclamation responsibility on the part of the mine operator or the State; (2) the lands are in Federal ownerships; and (3) the surface rights are under easement or lease to be remined.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Participants must furnish proof of ownership or management control for the contract period and written consent of the landowner, if not the owner. Participants are responsible for completing an application for assistance that includes statement of financial burden.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant requests program assistance on Form SCS CO-156 through the local office of the Soil Conservation Service or conservation district. Applicant must develop, with the assistance of SCS, a reclamation plan as a basis for program assistance.

**Award Procedure:** Participants must sign a 5 to 10 year contract based on the reclamation plan to receive cost sharing. Cost payments may be made directly to the applicant or the contractor upon satisfactory completion of identifiable units of work. Approval of contracts is made by the Chief of SCS, State conservationist or contracting officer depending upon dollar amount of contract. Reclamation work contained in RAMP contract may be performed under an SCS awarded contract or by the participant.

**Deadlines:** SCS is to announce, through local media, dates and variable deadlines for receiving applications.

**Range of Approval/Disapproval Time:** Variable, no specified time. Approval will depend on volume of applications received, available funds and priority assigned by reclamation committee and complexity of the reclamation project.

**Appeals:** To SCS State conservationist within 30 days after notice of dispute.

**Renewals:** Eligible applicants may re-apply for program assistance in accordance with program funding priorities. Subject to a 320-acre limitation per owner.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Allotments of Rural Abandoned Mine Program funds to SCS State conservationists are to reflect the national program needs; the geographic areas from which funds were derived; the funding priority assigned to applications for program assistance, including benefits expected to be derived; and, the practicability and feasibility of the reclamation work proposed. For 120 acres or less, the Federal cost-share rate for applying land use and conservation treatment may be up to 80 percent depending upon the income producing potential of the land after reclamation. However, this rate may be increased to a level required to obtain participation when the main benefits of reclamation accrue to the public and there is a declaration of financial burden. For acreage in excess of 120 acres up to 320 acres maximum, the cost-share rate is to be reduced proportionately by up to 0.25 percent per acre. The Chief of the Soil Conservation Service may establish specific rates in accordance with the above criteria. Initially, cost-share rates will range from 25 to 100 percent.

**Length and Time Phasing of Assistance:** Contract period is for not less than 5 or more than 10 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** SCS and applicant make a status review which includes maintenance of completed items, need for deletion or addition of contract items, and as appropriate, the need to reschedule installation of practices.

**Audits:** SCS makes periodic, random on-site reviews of the quantity and quality of the application and maintenance of contract items. Program activities are subject to audit by the Office of Inspector General, USDA.

**Records:** Recipients should retain the reclamation plan contract and subsequent correspondence and transactions because they will be held accountable for its implementation.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-5015-0-2-302.

**Obligations:** (Direct Payments) FY 81 $5,563,686; FY 82 est $1,960,134; and FY 83 est $597,000, (Salaries and expenses) FY 81 $5,743,568; FY 82 est $3,248,000; and FY 83 est $3,058,000.

**Range and Average of Financial Assistance:** Fiscal year 1981, - $1,400 to $303,000; $49,950 per contract.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 3,009 applications were on file and 244 contracts have been awarded. These contracts will treat 4,483 acres. To date 1,400 acres have been reclaimed, 290 Safety and Health Hazards eleminated, and 3500 acres of water quality improved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 7 CFR 632, available from the Government Printing Office; RAMP operating procedures and RAMP environmental impact statements are available from SCS State offices and the National headquarters.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Soil Conservation Service State offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Deputy Chief for State And Local Operations, Soil Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 447-7145 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A 70 acre site near a small community, exposed approximately 125 residents to health and safety hazards. Reclamation includes eliminating subsidence holes through filling and grading to eliminate dangerous water pits and illegal trash dumps; surface water control; wildlife plantings; firebreaks; fencing for exclusion of grazing animals; and planting the site to pine seedlings for stabilization. A 40 acre site near a small borough presented a constant hazard to life and property. Reclamation consists of shaping and stabilization of eroding and unsightly "refuse" piles; disposal of "red dog" boulders; removal of a hazardous tipple; filling open mine shafts; back filling to reduce height of "highwalls"; removal of acid debris and soil deposition in streams; establishment of diversions, rock and grass waterways; establishing permanent vegetation on the site; and stabilization of streambanks.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals are selected based on the criteria specified in 7 CFR 632.12 which consider the effect on public health, safety and general welfare, the environment, and beneficial use.

# STATISTICAL REPORTING SERVICE

## 10.950 AGRICULTURE STATISTICAL REPORTS

### (Crop and Livestock Estimates)

**FEDERAL AGENCY:** STATISTICAL REPORTING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:** 5 U.S.C. 3109; 7 U.S.C. 292, 411, 411a, 411b, 427, 471, 475, 476, 501, 951, 953, 955, 956, 957; (7 U.S.C. 1621, 1622, 1623, 1623a, 1624, 1625, 1626, 1627); 7 U.S.C. 2201, 2202, 3103, 3291, 3311, 3504, 2248; 18 U.S.C. 1902, 1905, 2072; 42 U.S.C. 1891, 1892, 1893; 22 U.S.C. 3101; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq 2251 et seq; Public Law 97-103, making appropriations for Agriculture, Rural Development and Related Agencies, 1982.)

**OBJECTIVES:** To formulate, develop, and administer programs of collecting and publishing statistics related to agriculture, resources, and rural communities.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Copies of publications of estimates and reports of production, supply, price, and other aspects of the agricultural economy are available to anyone, without restriction.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Request is made to the headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 12-1801-0-1-352.

**Obligations:** (Salaries and expenses) FY 81 $53,787,000; FY 82 est $51,636,000; and FY 83 est $53,694,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Estimates on approximately 150 crops and 50 livestock items are included in approximately 500 national reports. These reports include crops, livestock and poultry estimates; prices received by farmers; prices paid for commodities and services; and data on farm employment and wage rates.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Periodicals (annual listing of publications issued by EMS), no charge. Crop Reporting Board catalog (annual listing of reports issued by Crop Reporting Board), no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Administrator, Statistical Reporting Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 447-2707 (Use same 7-digit number for FTS) Contact: William E. Kibler.

**RELATED PROGRAMS:** 10.153, Market News; 10.250, Agricultural and Rural Economic Research; 10.700, National Agricultural Library; 11.001, Census Bureau Data Products; 11.050, Business Assistance, Services, and Information; 17.003, Prices and Cost of Living Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# DEPARTMENT OF COMMERCE

## BUREAU OF THE CENSUS

### 11.001 CENSUS BUREAU DATA PRODUCTS

### (Census Bureau Publications, Computer Tapes, and Microfiche)

**FEDERAL AGENCY:** BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of August 31, 1954; Public Law 83-740; 13 U.S.C. 8.

**OBJECTIVES:** To provide statistical results of censuses, surveys, and other programs in the form of printed reports, computer tapes, and microfiche.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Statistical products used by Federal, State, and local agencies, businesses, industries, educational institutions, and the general public. Data cover a wide range of subjects and types of geographic areas from (1) the censuses of population, housing, agriculture, retail trade, wholesale trade, selected service industries, construction industries, transportation, manufacturing, mineral industries, and governments; (2) periodic and special surveys; (3) estimates and projections programs; (4) foreign trade statistics program; (5) statistical compendia, directories, indexes, catalogs and guides to statistical data. Restrictions: Census laws guarantee the confidentiality of data concerning individual persons, households, farms, and business establishments. Reports, tapes and microfiche contain statistical summaries only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Census Bureau products are available for purchase by all interested persons.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0401-0-1-376; 13-0450-0-1-376.

**Obligations:** FY 81 $222,299,000; FY 82 est $154,311,000; and FY 83 est $149,155,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 the Census Bureau published a total of about 2,775 census reports (representing about 99,900 pages). There were about 2,000 reports of major censuses (representing about 53,070 pages), and about 890 reports based on surveys and other current programs (representing about 46,840 pages). Their sale was largely handled by the Government Printing Office. The Data User Services Division received orders for approximately 2,500 computer tapes, maps, and related products, in fiscal year 1981. From October 1970 through September 1981, over 45,000 orders for census data products have been processed by the Data User Services Division.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Bureau of the Census Catalog, 1980 Annual, $6.00 (estimated cost); Monthly Product Announcement, no charge; Directory of Data Files, 1979, $11.00 (including quarterly updates for three years); Data User News, monthly, $19 per year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See list of 45 DOC District Offices, and 12 Bureau of the Census Regional Offices, in Appendix IV of this catalog.

**Headquarters Office:** Michael G. Garland, Chief, Data User Services Division, Bureau of the Census, Washington, DC 20233. Telephone: (301) 763-5820.

**RELATED PROGRAMS:** 10.153, Market News; 11.002, Census Data User Services; 11.003, Census Geography; 11.004, Census Intergovernmental Services; 11.005, Census Special Tabulations and Services; 11.025, Measures and Analyses of the U.S. Economy; 11.050, Business Assistance, Services, and Information; 17.002, Labor Force Statistics.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 11.002 CENSUS DATA USER SERVICES

**FEDERAL AGENCY:** BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of August 31, 1954; Public Law 83-740; 13 U.S.C. 8.

**OBJECTIVES:** To assist census data users in the access to and use of published and unpublished data through information provided in newsletters, technical guides, conferences and training courses; design new informational and data products to meet user needs; develop user-oriented computer programs such as CENSPAC, for processing census files; develop user-oriented educational and training materials; provide assistance for locally sponsored conferences or workshops; and improve dissemination of statistical data to data users.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** (1) Assistance for locally sponsored conferences or workshops on the censuses and other Bureau programs - arrangements must be mutually agreeable; (2) consultation on problems associated with using Census Bureau products; (3) descriptive reports and brochures concerning Bureau programs, products, and their uses; and (4) materials on Census Bureau data products for use in college-level courses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Materials and consultation at the Bureau are available to any requester. Officials of Federal, State, and local governments, universities, community organizations, and the private sector are eligible for Bureau-sponsored data user training; there is a nominal fee for each course. Staff may participate as speakers and resource persons in conferences on the censuses and other Bureau programs, and on user training activities sponsored or co-sponsored by nonprofit organizations. Also, see information about State Data Centers presented under 11.004, Census Intergovernmental Services.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By written request.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0450-0-1-376; 13-0401-0-1-376; 13-8544-0-7-376.

**Obligations:** FY 81 $3,904,000; FY 82 est $3,759,000; and FY 83 est $3,789,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Published monthly newsletter, Data User News. During fiscal year 1981, conducted six 4-day seminars on accessing Federal statistical resources for 197 data users and 20 specialized workshops and training courses, attended by 682 data users. Publication of newsletters, guides, and other reference material. Sale of data products.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publication order forms for reports resulting from censuses and special surveys, no charge; Data User News (issued monthly-annual subscription $19.00); Information about Data User Training Courses, no charge; Telephone Contacts for Data Users, no charge; U.S. Bureau of the Census-Factfinder for the Nation, a series of 22 topical brochures, price for series, $4.50; Census '80: Continuing the Factfinder Tradition, $8.50; Census '80: Projects for Students, $5.00; 1980 Census of Population and Housing, Users' Guide (forthcoming price to be determined).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See list of 12 Bureau of the Census Regional Offices, and 45 Department of Commerce District Offices, in Appendix IV of this Catalog.

**Headquarters Office:** Michael G. Garland, Chief, Data User Services Division, Bureau of the Census, Deparment of Commerce, Washington, DC 20233. Telephone: (301) 763-5820. For seminars, workshops, and training courses-Dorothy Chin, User Training Branch Registration Desk, Data User Services Division, Bureau of the Census, Washington, DC 20233. Telephone: (301) 763-1510.

**RELATED PROGRAMS:** 11.003, Census Geography; 11.004, Census Intergovernmental Services; 11.005, Census Special Tabulations and Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.003 CENSUS GEOGRAPHY

### (Census Mapping and Statistical Areas)

**FEDERAL AGENCY:** BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of August 31, 1954; Public Law 83-740; 13 U.S.C. 8.

**OBJECTIVES:** To provide maps for use in conducting censuses and surveys and for showing their results geographically; define boundaries of statistical areas; develop geographic code schemes; provide maps and area reports for States and local areas.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Bureau of the Census prepares base maps which are used in the planning and conduct of its various censuses and surveys. It also prepares maps of States, cities, counties, minor civil divisions or census county divisions within counties, urbanized areas, standard metropolitan statistical areas, census tracts, and congressional districts for inclusion in its published reports. Other maps, prepared by the Census Bureau for separate publication, include the following: a thematic U.S. map series; a series of county subdivision maps; the Congressional District Atlas; and metropolitan, county, and place maps for the 1980 census. The Census Bureau, in conjunction with State and local areas, defines the boundaries of most statistical areas and develops geographic code systems, such as GBF/DIME-Files, which are used in the electronic data processing of the information. Computer programs for geographic applications pertaining to effective use of the GBF/DIME System and automated computer mapping techniques have been developed.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Interested persons, organizations, or government agencies.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By written request.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0401-0-1-376; 13-0450-0-1-376.

**Obligations:** FY 81 $5,001,000; FY 82 est $4,194,000; and FY 83 est $4,287,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Maps covering the entire United States, showing political and statistical areas recognized for the 1980 Census of Population and Housing, include: 11,116 metropolitan and vicinity maps, 5,741 county maps, 12,657 place maps, 3,386 place and vicinity maps, and 75 Indian Reservation maps. The GBF/DIME-Files have been updated for the 1980 census. In fiscal year 1981 approximately 1,200 map orders were filled.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Data Access Description No. 33 (revised) Census Geography, $.70; Factfinder for the Nation No. 8 (Revised) Geographic Tools, $.30; Bureau of the Census order forms for maps and geographic reports, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Stanley D. Matchett, Chief, Geography Division, Bureau of the Census, Department of Commerce, Washington, DC 20233. Telephone: (301) 763-5636. (Maps and other geographic products can be purchased from Data User Services Division, Customer Services (Maps), Bureau of the Census, Washington, DC 20233. Telephone: (301) 763-4100.

**RELATED PROGRAMS:** 11.001, Census Bureau Data Products; 11.002, Census Data User Services; 11.004, Census Intergovernmental Services; 11.005, Census Special Tabulations and Services; 11.050, Business Assistance, Services, and Information; 11.400, Geodetic Surveys and Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.004 CENSUS INTERGOVERNMENTAL SERVICES

### (Intergovernmental Services Program)

**FEDERAL AGENCY:** BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of August 31, 1954; Public Law 83-740; 13 U.S.C. 8; 31 U.S.C. 686.

**OBJECTIVES:** To provide technical and informational assistance to State and local governments.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Statistical, technical, and informational assistance provided to Federal, State, and local governments includes the following (1) technical assistance on methods of making population estimates and projections; (2) consultation services available to local officials for the planning and conducting of special surveys; (3) special censuses taken at the request and expense of local communities; (4) special surveys conducted on a reimbursable basis; and (5) assistance to States in the establishment and operation of State Data Centers to improve access to Census Bureau data by State and local agencies and other data users.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Officials of Federal, State, and local governments, and community organizations.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By written request.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0401-0-1-376; 13-0450-0-1-376; Special Censuses portions 13-8544-0-7-376.

**Obligations:** FY 81 $147,000; FY 82 est $130,000; and FY 83 est $130,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fifty states and the Commonwealth of Puerto Rico are officially participating in the Federal-State Cooperative Program for the preparation and publication of county population estimates. There were no special censuses taken in fiscal year 1980, and none taken in fiscal year 1981. Currently 46 States are participating in the State Data Center Program which was formally initiated in September 1978 with over 1,500 State and local governmental agencies affiliated with the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** (1) Series P-26, Estimates of the Population of Counties for (specified State), (price varies); (2) Series P-25, Population Estimates for the U.S., States, and Metropolitan areas, (price varies); (3) Federal Special Censuses (Form SC-1), no charge; (4) Overview of State Data Center Program, no charge; (4) State Data Center Program, State Coordinating Organizations Address List, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See list of 12 Bureau of the Census Regional Offices, and 45 Department of Commerce District Offices in Appendix IV of this catalog.

**Headquarters Office:** For special censuses, George Hurn, Decennial Census Division, telephone: (301) 763-5806; for population estimates and projections-Richard Engels, Asst. Chief for Estimates and Projections, Population Division. Telephone: (301) 763-7892; and for State Data Center Program, Larry Carbaugh. Chief, State and Regional Programs Staff. Telephone: (301) 763-1580, Bureau of the Census, Washington, DC 20233.

**RELATED PROGRAMS:** 11.001, Census Bureau Data Products; 11.002, Census Data User Services; 11.003, Census Geography; 11.005, Census Special Tabulations and Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.005 CENSUS SPECIAL TABULATIONS AND SERVICES

**FEDERAL AGENCY:** BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of August 31, 1954; Public Law 83-740; 13 U.S.C. 8; 31 U.S.C. 686.

**OBJECTIVES:** To provide customized tabulations from Census Bureau records in a variety of output forms to meet users' needs and to conduct statistical surveys on a reimbursable basis.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** To ensure confidentiality, information in data files and special tabulations is subject to the same legal safeguards as printed reports.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Officials of Federal, State, and local governments, community organizations, and private organizations, as well as private individuals.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By written request.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-8544-0-7-376; 13-0401-0-1-376.

**Obligations:** FY 81 $83,054,000; FY 82 est $86,973,000; and FY 83 est $86,973,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Bureau conducted special surveys and prepared numerous special tabulations for data users.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Monthly Product Announcement, no charge; Guide to Foreign Trade Statistics, 1979, $6.50; Directory of Data Files, 1979, $11.00 (including quarterly updates for 3 years); 1980 Census of Population and Housing, Users' Guide (price to be determined).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See list of 12 Bureau of the Census Regional Offices in Appendix IV of this Catalog.

**Headquarters Office:** For requests for demographic and household special surveys, contact Evan Davey, Demographic Surveys Division, telephone: (301) 763-2778, for requests for economic special surveys contact Jerry McDonald, Economic Surveys Division, telephone: (301) 763-5182; Bureau of the Census, Department of Commerce, Washington, DC 20233. For special tabulations (demographic), contact Paula Schneider, Population Division, telephone: 763-7962; for special tabulations (housing), contact Bill Downs, Housing Division, telephone: 763-2873; Bureau of the Census, Department of Commerce, Washington, DC 20233. To arrange for other special tabulations, write to the Director, U.S. Bureau of the Census, Washington, DC 20233.

**RELATED PROGRAMS:** 11.001, Census Bureau Data Products; 11.002, Census Data User Services; 11.003, Census Geography; 11.004, Census Intergovernmental Services; 11.050, Business Assistance, Services, and Information; 17.002, Labor Force Statistics.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.006 PERSONAL CENSUS SEARCH

### (Age Search)

**FEDERAL AGENCY:** BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of August 31, 1954; Public Law 83-740; 13 U.S.C.8.

**OBJECTIVES:** To provide a source of data for proof of age or relationship of individuals in need of such information based on census records. These records may be the only recourse if the birth was not registered and if generally acceptable proofs, such as affidavits from the doctor or midwife who attended the birth, family Bible records, or baptismal certifications are not available.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Information on age or citizenship may be required: (1) To qualify for government programs (such as medicare, Social Security retirement, old age benefits, or other pensions); (2) as proof of citizenship when required (for example, in obtaining a passport); (3) when needed for employment purposes; (4) to qualify for rights of inheritance as a beneficiary; and (5) as a generally acceptable proof of age or relationship for annuities, other rights, or benefits to which one may be entitled. A fee is required for each age search application, whether the applicant's record is found or is not found.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Personal information from census records of 1900 and later is confidential and may be furnished only upon written request of the persons to whom it relates or, for a proper purpose, to a legal representative of an estate. Information regarding a child who has not reach legal age amay be obtained upon the written request of either parent. For records of a deceased person, application must be signed by: (1) a blood relative in the immediate family, (2) the surviving wife or husband, (3) a beneficiary, or (4) the administrator or executor of the estate. In all such cases, a certified copy of the death certificate must be furnished as well as a certified copy of the court order naming the legal representative or legal evidence of the beneficiaries relationship.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** See Applicant Eligibility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application form (BC-600) can be obtained by request. When a personal census search is made, a $12.00 fee is charged to cover the cost of making the search and verifying the results.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-8544-0-7-376.

**Obligations:** FY 81 $1,458,000; FY 82 est $1,550,000; and FY 83 est $1,555,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 150,000 requests were processed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Age Search Information" (Revised January, 1981) $3.75. "Application for Search of Census Records," BC-600, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Francis N. Allai, Chief, Personal Census Service Brach, Bureau of the Census, Department of Commerce, Pittsburg, KS 66762. Telephone: (316) 231-7100.

**Headquarters Office:** Christine Stewart, Age Search Information, Bureau of the Census, Department of Commerce, Washington, DC 20233. Telephone: (301) 763-7936.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# BUREAU OF ECONOMIC ANALYSIS

## 11.025 MEASURES AND ANALYSES OF THE U.S. ECONOMY

**FEDERAL AGENCY:** BUREAU OF ECONOMIC ANALYSIS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** 15 U.S.C. 171, 175, 1516; 22 U.S.C. 286f, 3101-3108.

**OBJECTIVES:** To provide a clear picture of the U.S. economy through the preparation, development, and interpretation of the national income and product accounts, summarized by the gross national product (GNP); the wealth accounts, which show the business and other components of national wealth; the input-output accounts, which trace the interrelationships among industrial markets; personal income and related economic series by geographic area; the U.S. balance of payments accounts and associated foreign investment accounts; and measures relating to environmental change within the framework of the national economic accounts. The work on the national economic accounts is supplemented by the preparation and analysis of other measures of business activity, including various tools for forecasting economic developments, such as surveys of investment outlays and plans of U.S. business, econometric models of the U.S. economy, and a system of leading, coincident, and lagging economic indicators.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The measures and analyses produced by BEA are used in the formulation and execution of fiscal, financial, international, and other policies related to the major economic goals of the Nation. Business plans its production, price, and investment programs with the aid of the information provided by BEA. This information is essential also for economic decision-making by State and local governments, labor, other economic groups, and by growing number of individuals who feel a need for a better orientation in an economic world that is becoming increasingly complex. Universities and research organizations rely in their teaching and research programs on the information provided by BEA.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any business, public official, civic organization or private citizen may request information in person, by letter or telephone.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1500-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $17,053,000; FY 82 est $17,378,000; and FY 83 est $18,567,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the measures and analyses prepared by the Bureau of Economic Analysis were disseminated mainly through its monthly publications: The Survey of Current Business (including periodic supplements to the Survey), and Business Conditions Digest.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Survey of Current Business - Subscription prices are $50.00 a year for first-class mail and $30.00 a year for second-class mail, single issue, $4.25; and Business Conditions Digest, $60.00 a year, single issue $5.50. Available from Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** This information can be obtained through the Department of Commerce district offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Larry Moran, Current Business Analysis Division, Bureau of Economic Analysis, Department of Commerce, 1401 K St., N.W., BE-53, Rm. 713, Washington, DC 20230. Telephone: (202) 523-0777.

**RELATED PROGRAMS:** 11.001, Census Bureau Data Products; 11.050, Business Assistance, Services, and Information; 17.003, Prices and Cost of Living Data; 17.004, Productivity and Technology Data; 17.006, Economic Growth Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.027 PRODUCTIVITY AND ECONOMIC GROWTH

**FEDERAL AGENCY:** OFFICE OF PRODUCTIVITY, TECHNOLOGY, AND INNOVATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** 15 U.S.C. 3701 et seq.

**OBJECTIVES:** To stimulate private sector productivity improvement by developing public policies and by providing productivity-related information and technical assistance.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** (1) Redirect Commerce Programs from intervention in technology and innovation process towards facilitation of private sector initiatives, (2) identify and analyze barriers (regulatory, legislative, fiscal, institutional, etc.) impending private firms' ability to enhance their own productivity and growth rates, and (3) provide basic, best-practice productivity information to business.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any U.S. firms or business organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1500-0-1-376.

**Obligations:** FY 81 $0; FY 82 est $700; and FY 83 est $1,898.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Through a national clearinghouse/resource center, information on productivity improvement methods will be collected and disseminated.

**INFORMATION CONTACTS:**

**Regional or Local Office:** This information can be obtained through the Department of Commerce district offices listed in Appendix IV of the Catalog.

**Headquarters Office:** States Clawson, Office of Productivity, Technology and Innovation, Department of Commerce, 14th & Constitution Avenue, Room 4872, Washington, DC 20230, Telephone: 377-3653.

**RELATED PROGRAMS:** 11.025, Measures and Analyses of the U.S. Economy; 11.050, Business Assistance, Services, and Information; 17.004, Productivity and Technology Data; 17.006, Economic Growth Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.050 BUSINESS ASSISTANCE, SERVICES, AND INFORMATION

**FEDERAL AGENCY:** BUREAU OF INDUSTRIAL ECONOMICS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** 15 U.S.C. 1512; 19 U.S.C. 1202, 2031, 2354.

**OBJECTIVES:** To provide industry-specific information, research, and analysis that will meet the needs of the business community and Federal program managers and policymakers.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** To serve as the basic Governmental source of industry-specific information, research, and analysis necessary for use by public and private decisionmakers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any business, public official, civic organization or private citizen may request information in person, by letter or telephone.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1500-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $6,812,000; FY 82 est $8,153,000; and FY 83 est $8,475,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, this program included regular statistical reports and press releases; economic studies on current policy issues, such as productivity, capital formation, international trade; and the impact of Government regulations on industry; forecasts of industry/sector output, cost trends, and their general economic condition; and information on industrial structure, operations and technological developments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The U.S. Industrial Outlook, Construction Review, Business Conditions Reports, Printing and Publishing Quarterly, and Forest Products Review.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local Department of Commerce field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:** John J. Bistay Bureau of Industrial Economics, Department of Commerce, 14th and Constitution Avenue, Great Hall, Washington, DC 20230. Telephone: (202) 377-4356.

**RELATED PROGRAMS:** 10.153, Market News; 10.950, Agriculture Statistical Reports; 11.001, Census Bureau Data Products; 11.005, Census Special Tabulations and Service; 11.025, Measures and Analyses of the U.S. Economy; 11.800, Minority Business Development—Management and Technical Assistance; 59.005, Management Assistance to Small Businesses; 59.007, Management and Technical Assistance for Disadvantaged Businessmen; 59.026, Service Corps of Retired Executives and Active Corps of Executives.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.100 EXPORT LICENSING SERVICE AND INFORMATION

### (Export Control)

**FEDERAL AGENCY:** INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Export Administration Act of 1979, 50 U.S.C. App. 2401 et seq.

**OBJECTIVES:** To provide information, assistance, and advisory services to the public and the business community on matters concerning exports of certain products and technical data that require an export license for shipments to foreign countries.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Individuals and business firms may obtain information and assistance on the interpretation of export control regulations and policies, when a validated export control license is required; secure expeditious handling of export application when priority action is warranted; and other related matters.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person, firm, organization, or branch of government needing information or assistance on export control matters.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** In person, by letter or telephone.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1250-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $317,000; FY 82 est $340,000; and FY 83 est $355,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, counseled 4,100 visitors to Exporters' Service; answered 63,000 phone inquiries for advice and assistance; responded to another 27,000 calls on the processing stage of applications. In fiscal years 1982 and 1983, there will be an estimated 4,500 visitors to Exporters' Service counseled; 65,000 phone inquiries for advice received; 30,000 calls responding to inquiries on the processing stage of applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Export Administration Regulations; Export Administration Bulletins; Summary of U.S. Export Regulations; Export Administration Semi Annual Report; Export Control of Technical Data; Highlights of Export Controls; Exports by Mail; Daily List of Export Licenses Issued; and, Denial and Probation Orders Currently Affecting Export Privileges.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local Department of Commerce field offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Exporter Service Staff, Office of Export Administration, Rm. 1623, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-4811.

**RELATED PROGRAMS:** 11.108, International Trade Promotion.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.105 IMPORTATION OF DUTY-FREE EDUCATIONAL AND SCIENTIFIC MATERIALS

### (The Florence Agreement)

**FEDERAL AGENCY:** INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Tariff Act of 1930, as amended; Tariff Schedule 8, Part 4; 19 U.S.C. 1202.

**OBJECTIVES:** To consider applications from any nonprofit institution interested in obtaining duty-free treatment of certain instruments and apparatus entered for its own use.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Applies only to nonprofit (public or private) institutions established for educational or scientific purposes; and only if the Secretary of Commerce or his delegate determines that no instrument or apparatus of equivalent scientific value for the purposes for which the instrument or apparatus is intended to be used, is being manufactured in the United States. Use must be scientific research or science related education.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private nonprofit institutions established for educational or scientific research purposes.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Write to Headquarers Office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Appeals of decisions may be made on a question or questions of law with the U.S. Court of Customs and Patent Appeals.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1250-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $257,000; FY 82 est $263,000; and FY 83 est $275,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, processed 470 Florence Agreement applications. In fiscal year 1982, an estimated 500 Florence Agreement applications will be processed. In fiscal year 1983, 600 Florence Agreement application may be processed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR 301. Form ITA 338P Request for Duty-Free Entry of Scientific Instruments or Apparatus; no cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Statutory Import Programs Staff, Import Administration, International Trade Administration, U.S. Department of Commerce, Washington, DC 20001, Room 2097. Telephone: (202) 377-3525.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.106 ANTIDUMPING DUTIES

**FEDERAL AGENCY:** INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Antidumping Act, 1921, as amended; 19 U.S.C. 160 et seq., Trade Act of 1974, and the Trade Agreements Act of 1979.

**OBJECTIVES:** To protect a domestic industry which is being injured by less than fair value sales of foreign merchandise in the United States.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Special dumping duties are assessed against imported foreign merchandise, entered at less than foreign market value or constructed value, on which the Secretary of Commerce has made a finding of dumping.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person who has information that merchandise is being, or is likely to be, imported into the United States under such circumstances as to bring it within the purview of the Antidumping Act of 1921, as amended, may on behalf of an industry in the United States, communicate such information to the Import Administration, International Trade Administration, U.S. Department of Commerce.

**Beneficiary Eligibility:** The industry being adversely affected by imports which are the subject of a finding of dumping.

**Credentials/Documentation:** Communications must contain: A description of the merchandise involved; the country from which it is being imported; ports or probable ports of entry; price information with respect to home market or third country sales and sales to the U.S.; and, information indicating that an industry in the United States is being injured by the imports.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not required; a conference with Import Administration officials is recommended.

**Application Procedure:** The dumping petition should be filed in accordance with 19 CFR 353.36.

**Award Procedure:** Upon receipt of a petition, an investigation is initiated by the Department of Commerce, and an Antidumping Proceeding Notice is published in the Federal Register. If sales at less than fair value are discovered, the Secretary of Commerce issues a determination to that effect. The case is then forwarded to the International Trade Commission for a determination as to whether or not an industry in the United States is being, or is likely to be, injured. If this determination is affirmative, the Secretary of Commerce makes a finding of dumping and special dumping duties are assessed against that merchandise which is being sold in the United States at less than fair value.

**Deadlines:** A preliminary determination must be published by the Department of Commerce 160 to 210 days (depending on the complete of the case) from the date of receipt of the case. A final determination will be due 75 or 135 days as appropriate after the preliminary determination. Pursuant to the Statute, the International Trade Commission investigation must be completed within 45 days after the determination of sales at less than fair value.

**Range of Approval/Disapproval Time:** Investigations by the Commerce Department are normally completed within 215 days from the publication of an "Antidumping Proceeding Notice" in the Federal Register.

**Appeals:** See 19 U.S.C. 169.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** A finding of dumping may be revoked or modified after two years if it can be shown that no sales at less than fair value have taken place or imports have stopped.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1250-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $5,780,000; FY 82 est $6,555,000; and FY 83 est $6,850,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 13 dumping investigations have been initiated. In fiscal year 1982, there will be approximately 35 dumping investigations initiated. In fiscal year 1983, an estimated 31 dumping investigations will be initiated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Commerce Regulations, Part 353 (19 CFR 353).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Import Administration, International Trade Administration, U.S. Department of Commerce, 14th and Constitution Avenue, Washington, DC 20230. Inquiries should be directed to David Binder, Director of the Office of Investigations, Telephone: (202) 377-5497 or Leonard Shambon, Director of the Office of Compliance, Telephone: (202) 377-2104, Import Administration, International Trade Administration, U.S. Department of Commerce, 14th Street and Constitution Ave., N.W. Washington, DC 20230.

**RELATED PROGRAMS:** 11.107, Countervailing Duty on Imports; 61.001, Import Relief (Industry).

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.107 COUNTERVAILING DUTY ON IMPORTS

**FEDERAL AGENCY:** INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** 19 U.S.C. 1303, Trade Act of 1974 and Trade Agreements Act of 1979.

**OBJECTIVES:** To protect domestic industry from unfair competition by imports which benefit from bounties or grants bestowed by foreign governments or associations.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Petitions by domestic industry are investigated. If the Secretary of Commerce determines a bounty or grant is being bestowed on imported dutiable merchandise, or duty-free merchandise in certain cases, countervailing duty is assessed on importations of this merchandise from the bestowing country. The duty is intended to offset the unfair competitive effect of the bounty/grant.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person who has reason to believe that any bounty or grant is being paid or bestowed may communicate his belief to the Secretary of Commerce.

**Beneficiary Eligibility:** The industry adversely affected by imports which benefit from bounties or grants.

**Credentials/Documentation:** Communications must contain: A full statement of the reasons for the belief; a detailed description or sample of the merchandise; and, all pertinent facts obtainable concerning a bounty or grant being paid or bestowed in connection with such merchandise.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not required; conference with Import Administration Officials or Department of Commerce personnel is recommended.

**Application Procedure:** The petition should be filed in accordance with 19 CFR 355.26.

**Award Procedure:** When a petition is received in proper form, the Commerce Department investigates and publishes preliminary and then final determinations. When there is a final determination that a bounty or grant is bestowed, the Commerce Department assesses countervailing duty on imports of the merchandise identified in the petition.

**Deadlines:** A preliminary determination must be published within 85 or 150 days of receipt of the petition and final determination in general within 75 days from the date of the preliminary action.

**Range of Approval/Disapproval Time:** Action must be taken within statutory deadlines.

**Appeals:** See 19 U.S.C. 1514.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** For duration of bestowal of bounty or grant.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

FINANCIAL INFORMATION:

**Account Identification:** 13-1250-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $642,000; FY 82 est $728,000; and FY 83 est $760,000.

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: During fiscal year 1981, 7 investigations were initiated. In fiscal year 1982, there will be approximately 35 investigations initiated and in fiscal year 1983 an estimated 11 investigations will be initiated.

REGULATIONS, GUIDELINES, AND LITERATURE: Commerce Regulations, Part 355 (19 CFR 355).

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** International Trade Administration, Import Administration, U.S. Department of Commerce, 14th Street and Constitution Avenue, Washington, DC 20230. Inquiries should be directed to David Binder, Director of the Office of Investigations, Telephone: (202) 377-5497 or Leonard Shambon, Director of the Office of Compliance, Telephone: (202) 377-2104, Import Administration, International Trade Administration, U.S. Department of Commerce, 14th Street and Constitution Avenue, N.W., Washington, DC 20230.

RELATED PROGRAMS: 11.106, Antidumping Duties; 61.001, Import Relief (Industry).

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 11.108 INTERNATIONAL TRADE PROMOTION

FEDERAL AGENCY: INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

AUTHORIZATION: 15 U.S.C. 1512.

OBJECTIVES: To encourage local business firms to enter into and expand their marketing efforts in export trade and to inform U.S. business firms of export methods, benefits, and opportunities and assist them to identify and assess potential overseas trade contacts and opportunities.

TYPES OF ASSISTANCE: Advisory Services and Counseling.

USES AND USE RESTRICTIONS: Services include: 1) export awareness counseling and publications to stimulate U.S. business firms to initiate and increase export activities; 2) information on overseas trade opportunities; 3) guidance to U.S. businessmen for making sound decisions through the use of commercial information; 4) assistance in display and sales promotion (trade and industrial exhibits, export development offices, trade missions and catalog shows) and in representing U.S. firms in government agencies at home and abroad; 5) information on trade statistics, foreign tariffs, custom regulations and procedures, market potential in individual countries, and other related activities; and 6) advice and counseling on foreign trade and individual overseas markets.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Any U.S. citizen, firm, organization, or branch of government needing information or assistance in international business matters.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** None.

**Audits:** None.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 13-1250-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $22,344,000; FY 82 est $23,813,000; and FY 83 est $23,100,000.

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1981 and 1982, counseled business executives; assisted U.S. business firms in winning major foreign projects and products sales contracts; provided trade opportunity leads; and provided U.S. business firms with Agent/Distributor Reports, World Trader Data Reports, Export Contact Lists, and Trade Lists. Assisted U.S. business firms to participate in major overseas promotional exhibitions and trade missions. Provided in-depth counseling and marketing information through correspondence, personal visits, and by telephone to U.S. business representatives.

REGULATIONS, GUIDELINES, AND LITERATURE: A Basic Guide to Exporting; Commerce America.

INFORMATION CONTACTS:

**Regional or Local Office:** Local Department of Commerce District offices listed in Appendix IV.

**Headquarters Office:** Office of Export Marketing Assistance, Room 4009, Telephone: (202) 377-5455; Office of Export Promotion, Room 4001, Telehone: (202) 377-4231; Office of Country Marketing, Room 3203, Telephone: (202) 377-5341. Department of Commerce, Washington, DC 20230.

RELATED PROGRAMS: 11.100, Export Licensing Service and Information.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 11.109 TRADE ADJUSTMENT ASSISTANCE (TAA) (TAA)

FEDERAL AGENCY: INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

AUTHORIZATION: Title II of Trade Act of 1974; Public Law 93-618 as amended; 88 Stat. 1978; 19 U.S.C. 2101-2487.

OBJECTIVES: To provide trade adjustment assistance to firms and industries adversely affected by increased imports.

TYPES OF ASSISTANCE: Direct Loans; Guaranteed/Insured Loans.

USES AND USE RESTRICTIONS: Firms: Under Chapter 3 of Title II, a firm may petition the International Trade Administration (ITA) of the Department of Commerce for certification as being impacted by import competition within the context of the Trade Act of 1974. Upon certification, the firm is eligible to apply for assistance. ITA approves the proposal by a firm for its economic recovery, and provides assistance to implement the recovery plan. Technical and financial assistance for individual firms may be furnished separately or in combination. Financial assistance may be used for capital equipment, buildings, land, and for working capital. No financial assistance is provided if funds are available from private sources on reasonable terms. Technical assistance, which is provided by ITA, usually through one of 11 Trade Adjustment Assistance Centers (TAACs) throughout the country, may be used to help develop, as well as implement, a firm's recovery proposal. Industries may be considered for trade adjustment technical assistance if they can provide evidence of actual or potential trade-impact among member firms. The industry should include firms which have been certified as trade-impacted under the Trade Act. Technical assistance is provided to trade association or other industry representatives to examine basic problems of industries and help meet the market challenge from imports.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A firm must demonstrate that increased imports of articles like or directly competitive with those produced by the firm contributed importantly to declines in sales or production, and to separation or threat of separation of the firm's workers.

**Beneficiary Eligibility:** Firms certified by the Secretary of Commerce as eligible to apply for adjustment assistance.

**Credentials/Documentation:** Certified firm must submit an acceptable plan for its economic recovery, including an explanation of the strategy and plan of action the firm intends to employ to adjust to the impact of imports, supported by financial, employment and sales data, a description of assistance needs, and other supporting materials.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A certified firm should work closely with its TAAC in petitioning for certification, in diagnosing its problems and developing its recovery plans, and in applying to ITA for implementation assistance. A conference with the staff of the ITA may also be recommended.

**Application Procedure:** Firms submit a petition for Certification of eligibility to Apply for Trade Adjustment Assistance (Form ITA-840). If certified by ITA, the firm may within 2 years submit an acceptable recovery plan and an application for financial and technical assistance required to implement the plan. An application for financial assistance is submitted using Forms ITA-860 and ITA-861P.

**Award Procedure:** To be approved, adjustment proposals for certified firms must demonstrate that they: (1) are reasonably calculated materially to contribute to the economic adjustment of the firm; (2) give adequate consideration of the interests of the workers of the firm and (3) demonstrate that the firm is using its own resources for its economic adjustment.

**Deadlines:** Application for Adjustment Assistance: In the case of firms, acceptable recovery plans must be filed within 2 years of certification of eligibility.

**Range of Approval/Disapproval Time:** For firms: Up to 60 days to determine whether a firm is eligible for certification after acceptable petition is filed. Up to 60 days after application for assistance is accepted for filing.

**Appeals:** Petitioners may appeal in writing within 60 days to the Assistant Secretary for Trade Development, Department of Commerce, from a denial of certification of eligibility to apply for adjustment assistance.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A firm will be required to share costs of technical assistance to the extent deemed appropriate by the Secretary of Commerce. In order to obtain financial assistance, a firm must show that required funds are not available from the firm's own resources, and that there is reasonable assurance of repayment of the loan.

**Length and Time Phasing of Assistance:** Assistance is phased according to the requirements of the approved adjustment proposal; loan maturities cannot exceed 25 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic reporting of operating results and financial statements.

**Audits:** Are required as part of monitoring procedures.

**Records:** Good accounting records are mandatory.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1250-0-1-376.

**Obligations:** (Loans and technical assistance) FY 81 $27,104,000; FY 82 est $25,578,000; and FY 83 est $0. (No funds were requested).

**Range and Average of Financial Assistance:** Firms: up to $1,000,000 in direct loans and $3,000,000 in loan guarantees.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 49 firms received financial assistance totaling $50 million; 286 certified firms received technical assistance, mostly from the TAACs; and technical assistance to firms and industries amounted to $17.5 million. In fiscal year 1982, direct or guaranteed loan assistance will be provided for approximately 35 firms, and about 250 certified firms will receive technical assistance to help them prepare their adjustment proposals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Copies of pertinent regulations, guidelines, forms and pamphlet entitled "Q & A's Trade Adjustment Assistance for Firms," available from Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:**

**Headquarters Office:** Program Information: Jack W. Osburn, Jr., Chief, Certification Division, Telephone: (202) 377-5005. Office of Trade Adjustment Assistance, International Trade Administration, Department of Commerce, 14th and E Streets, N.W., Washington, DC 20230.

**RELATED PROGRAMS:** 10.422, Business and Industrial Loans; 11.301, Economic Development—Business Development Assistance; 59.012, Small Business Loans.

**EXAMPLES OF FUNDED PROJECTS:** The eleven Trade Adjustment Assistance Centers (TAACs), covering the 50 States, Puerto Rico and the Virgin Islands, can help firms qualify for and receive trade adjustment assistance. They are given Federal funds to support the services they provide to businesses. Most of the technical assistance they provide to trade-impacted firms is on a cost-shared basis. Information about the location of the TAACs is available from Headquarters Office.

**CRITERIA FOR SELECTING PROPOSALS:** Only firms certified eligible under the Trade Act and with approved adjustment plans may apply for financial assistance and technical assistance to implement their plans. Industries must demonstrate trade-impact among member firms to be considered for assistance. Approval of assistance also depends on available funding.

## 11.300 ECONOMIC DEVELOPMENT—GRANTS FOR PUBLIC WORKS AND DEVELOPMENT FACILITIES

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965; Public Law 89-136, as amended; 42 U.S.C. 3131, 3132, 3135, 3141, 3171.

**OBJECTIVES:** To assist in the construction of public facilities needed to initiate and encourage long-term economic growth in designated geographic areas where economic growth is lagging behind the rest of the nation.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants for such public facilities as water and sewer systems, access roads to industrial parks or areas, port facilities, railroad sidings and spurs, public tourism facilities, vocational schools, and site improvements for industrial parks. Qualified projects must fulfill a pressing need of the area and must: (1) tend to improve the opportunities for the successful establishment or expansion of industrial or commercial plants or facilities, (2) assist in the creation of additional long-term employment opportunities, or (3) benefit the long-term unemployed and members of low-income families or otherwise substantially further the objectives of the Economic Opportunity Act of 1964. In addition, proposed projects must be consistent with the currently approved overall economic development program for the area, and for the district, if any, in which it will be located. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, cities, counties, and other political subdivisions, and private or public nonprofit organizations or associations representing a redevelopment area or a designated economic development center are eligible to receive grants and loans. Corporations and associations organized for profit are not eligible.

**Beneficiary Eligibility:** Unemployed and underemployed persons and/or members of low-income families.

**Credentials/Documentation:** Application must describe the type of proposed facility, estimated costs, extent of proposed project, permanent private sector job impact, (estimated payrolls estimated private investment) estimated time for construction implementation, and assurance that the project will satisfy statutory requirements. Most important, documentation must demonstrate how the project will have a positive impact on the economic development process in the community. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Economic Development Administration representative will meet with the applicant and community leaders to establish the basis for a preapplication conference. After reviewing project and local development profile information with the regional office, EDA will notify the applicant immediately if EDA cannot accept the project. If project appears viable, a preapplication conference at the Regional Director's discretion may be arranged with regional office personnel. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental statement as well as an assessment is necessary for this program.

**Application Procedure:** Applicant should contact the EDR servicing the State in which the project is to be located. An Economic Development representative assigned as coordinator of the project for EDA will provide necessary forms and assist in filling them out. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grant and loan applications from eligible applicants are approved by the Assistant Secretary for Economic Development, Department of Commerce or the Regional Director of the appropriate region. Contract award should be made on the lowest base bid submitted by a responsible bidder, with a responsible bidder defined as one who can furnish 100 percent performance and payment bonds and who meets the applicable State and local statutory requirements. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normally within 90 days of acceptance of application.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The basic grant rate may be up to 50 percent of the project cost. Severely depressed areas that cannot match Federal funds may receive supplementary grants to bring the Federal contribution up to 80 percent of the project cost with designated Indian Reservations eligible for 100 percent assistance. Additionally, redevelopment areas located within designated economic development districts may, subject to the 80 percent maximum Federal grant limit, be eligible for a 10 percent bonus on grants for public works projects. Long-term (up to 40 years), low interest loans may be made to the applicant when financial assistance is not otherwise available from private lenders or Federal agencies on terms which would permit accomplishment of the project. Although the authority for such loans is continuously available, it is rarely needed. The statistical factors used for eligibility (based on the maximum grant rate) are: (1) median family income and the source is the 1970 Decennial Census; (2) unemployment rate and the source is State, county, and selected employment, BLS; and the statistical factors based on area eligibility are: (3) number unemployed and the source is State, county, and selected employment, BLS; (4) unemployment rates and the source is State, county, and selected employment, BLS; (5) per capita decrease in employment 1960-70 and the source is the Census of Population 1960-70; (6) median family income and the source is the 1970 Decennial Census; (7) sudden rise in unemployment and the source is the State, county, and selected employment, BLS; and (8) substantial unemployment and the source is the State, county, and selected employment, BLS,. The statistical factor used for fund allocation does not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** EDA grant funds are disbursed for costs incurred only after all contracts for construction have been awarded. EDA loan funds are normally disbursed when the construction of the project is 75 percent or more complete.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports for specific projects may be requested.

**Audits:** Each recipient of financial assistance is required to keep such records as will facilitate an effective audit of the project.

**Records:** As necessary for above-mentioned audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants) FY 81 $220,400,000; FY 82 $118,000,000; and FY 83 $0.

**Range and Average of Financial Assistance:** No specific minimum or maximum project amount. $50,000 to $7,138,000; $580,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 200 projects were approved. In fiscal year 1981, 210 projects were approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 13 CFR Chapter III, "Building Communities with Jobs," EDA. "Grants and Loans for Public Works and Development Facilities," EDA. "Qualified Areas under the Public Works and Economic Development Act of 1965," "Guides for Overall Economic Development Programs," "Economic Development, Directory of Approved Projects."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA regional office addresses.

**Headquarters Office:** Anthony Deangelo, Director, Operations Directorate, Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.302, Economic Development—Support for Planning Organizations; 11.303, Economic Development—Technical Assistance; 11.304, Economic Development—Public Works Impact Projects; 11.307, Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration; 15.124, Indian Loans—Economic Development; 23.001, Appalachian Regional Development (See individual Appalachian Programs).

**EXAMPLES OF FUNDED PROJECTS:** 1) Infrastructure for industrial park development; 2) Port development and expansion; 3) Public infrastructure necessary for economic development (i.e. water/sewer facilities); 4) Renovation and recycling of old industrial buildings; 5) Revitalization of central business districts; 6) Energy development projects.

**CRITERIA FOR SELECTING PROPOSALS:** Project proposals must be located within a designated area and must be in conformance with an Overall Economic Development Program (OEDP) for the eligible area. Project must also contribute to long-term economic development of the area by creating or retaining permanent jobs and raising income levels. Conformance with the Assistant Secretary's Instructions and other EDA and/or Federal program requirements such as Davis-Bacon, NEPA, Civil Rights and Historic Preservation are part of the selection criteria.

## 11.301 ECONOMIC DEVELOPMENT—BUSINESS DEVELOPMENT ASSISTANCE

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965; Public Law 89-136, as amended; 42 U.S.C. 3142, 3171.

**OBJECTIVES:** To sustain industrial and commercial viability in designated areas by providing financial assistance to businesses that create or retain permanent jobs, expand or establish plants in redevelopment areas for projects where financial assistance is not available from other sources, on terms and conditions that would permit accomplishment of the project and further economic development in the area.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Long-term business development loans up to 65 percent of the cost may be used for the acquisition of fixed assets only (i.e., land, building, machinery, and equipment, including land preparation and building rehabilitation). Funds may be used for most kinds of new industrial or commercial facilities or to expand one already in existence. Loans for working capital needs are not limited by statute, but are available only for short periods. In addition, the government will guarantee up to 90 percent of the unpaid balance of loans for the acquisition of fixed assets or for working capital; and up to 90 percent of the rental payments required by guaranteed lease. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal assistance programs in accordance with provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters office of the appropriate funding agencies for further information on statutory or other restrictions involved. Fifteen percent equity is required by statute for fixed asset loans and administratively imposed on working capital loans and on guarantees.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual, private or public corporation, or Indian tribe, provided that the project to be funded is physically situated in an area designated as eligible under the Act at the time the application is filed. Neither business development loans nor guarantees of any kind will be extended to applicants who: (1) have, within the previous 3 years, relocated any or all of their facilities to another city, or State; (2) contemplate relocating part or all of their existing facilities with a resultant loss of employment at such facilities; and (3) produce a product or service for which there is a sustained and prolonged excess of supply over demand.

**Beneficiary Eligibility:** If an application is filed by a local industrial development corporation to establish a facility to be leased to a user (or beneficiary), the same criteria apply.

**Credentials/Documentation:** Applicants and beneficiaries must provide financial, engineering, and feasibility documentation supporting the viability of the project. Projects in which the Federal participation will exceed $1,000,000 must be supported by an independent feasibility study conducted by consultant acceptable to EDA. Tourism projects and projects involving new, untried technology will also require an independent feasibility study. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant should contact the regional office serving the State in which the project is to be located, and an Economic Development representative will be assigned to the project. With his concurrence, a preapplication conference will be scheduled with the professional staff of the regional office. An environmental impact statement and assessment is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Upon concurrence of the Regional Office Project Review Committee, applicants will be provided with all necessary forms and detailed information relating to supporting documentation.

**Award Procedure:** Loan and working capital loan guarantee applications from individuals, private or public corporations, or Indian tribes, in eligible areas are approved by the Assistant Secretary for Economic Development, Department of Commerce.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 to 120 calendar days after receipt of application if the complete supporting documentation is in good order.

**Appeals:** None. An applicant whose project has been denied may, however, reinstate his application if the defects leading to a denial have been remedied.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal participation in a direct, fixed asset loan may not exceed 65 percent of project fixed asset costs. A local development corporation or State agency usually participates to the extent of five percent. Of the remaining 30 percent, 10 percent (or 15 percent if no local or State participation) must be in the form of applicant's equity and the balance from a conventional commercial lender. Applicants are encouraged to increase their equity participation beyond the minimum. Comparable 15 percent equity requirements also apply to guarantees. The statistical factors used for eligibility are: (1) percentage of families in poverty and the source is P-60, CPR Census; (2) areas having unemployment rates above 8 1/2% for the last 3 months and areas of substantial unemployment and the source is BLS Monthly Estimates, (3) 25% out-migration from rural areas or any net out-migration and the source is the 1970 Dencennial Census; (4) decline in per capita employment of more than 1.2 percentage points between 1960 and 1970 and the sources are the 1960 and 1970 Decennial Census; and (5) total area population and the source is P-25, CPR Census. The statistical factor used for fund allocation do not apply to this program.

**Length and Time Phasing of Assistance:** Fixed asset loans, 25 years, maximum; working capital loans 5 years; guarantees, life of loan or lease. EDA loan funds will only be disbursed after all other funds have been injected into project.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic financial and employment reports will be required. Initially, these may be quarterly, and, as the business becomes established, at longer intervals.

**Audits:** An annual audit by a certified public accountant will be required not more than 90 days after the close of the applicant's fiscal year.

**Records:** Any other records deemed necessary under the circumstances.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Direct loans) FY 81 $54,109,000; FY 82 $0; and FY 83 $0. (Guarantees) FY 81 $31,963,000; FY 82 $0; and FY 83 $0.

**Range and Average of Financial Assistance:** $260,000 to $5,200,000; $1,500,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 119 business loans and 78 guarantees were made. For fiscal year 1981, 56 direct loans and 72 guarantees were covered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "EDA Business Development Loans- Who can Borrow-How to Apply."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA regional office addresses.

**Headquarters Office:** George Muller, Acting Director, Office of Business Loans, Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-5067.

**RELATED PROGRAMS:** 11.300, Economic Development—Grants for Public Works and Development Facilities; 11.800, Minority Business Development—Management and Technical Assistance; 12.600, Community Economic Adjustment; 23.001, Appalachian Regional Development (See individual Appalachian Programs); 59.003, Economic Opportunity Loans for Small Businesses; 59.006, Minority Business Development—Procurement Assistance; 59.012, Small Business Loans; 59.013, State and Local Development Company Loans.

**EXAMPLES OF FUNDED PROJECTS:** $1,200,000 to Genbearco Manufacturing Co., Inc. to build a new plant at Wilson, North Carolina. $500,000 to Gourmet Poultry Specialties, Inc. for working capital to sustain operations employing 380 in the South Bronx section of New York City. The guarantee of 90 percent of a $1,750,000 working capital loan for Gateway Shoe Manufacturing Co., Inc. of Hazelwood, Missouri. The guarantee of 80 percent of a $3,500,000 loan for Peter Pan Seafoods, Inc. to reconstruct a fish cannery destroyed by fire at King Cove in southwest Alaska.

**CRITERIA FOR SELECTING PROPOSALS:** EDA requires that a project create or save at least one job for each $10,000 of Federal assistance. Also projects which are located in distressed sections of urban areas, and projects which promote minority entrepreneurship are given added weight.

## 11.302 ECONOMIC DEVELOPMENT—SUPPORT FOR PLANNING ORGANIZATIONS

### (Development District Program; Redevelopment Area Program)

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965; Public Law 89-136, as amended; 42 U.S. C. 3151, 3152.

**OBJECTIVES:** To foster multi-county district (and redevelopment area) economic development planning and implementation capability and thereby promote effective utilization of resources in the creation of full-time permanent jobs for the unemployed and the underemployed in redevelopment areas.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are used for staff salaries and other planning and administrative expenses of the economic development organization. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (1) Areas designated as redevelopment areas or determined by the Secretary of Commerce to have substantial need for planning assistance. (2) Groups of adjoining counties, labor market areas, and/or Indian reservations which include at least one area designated as a redevelopment area by the Secretary of Commerce, and one or more centers of growth not over 250,000 population.

**Beneficiary Eligibility:** Areas and regions of substantial and persistent unemployment.

**Credentials/Documentation:** Evidence that the governing body of the development organization is broadly representative of the social, economic and political groups in area; minority membership must be in proportion to the minority population, but not necessarily exceeding 25 percent. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State and EDA concurrence in organization and boundary of multi-county district. Preapplication forms are not used. An environmental impact statement as well as an assessment is necessary for this program.

**Application Procedure:** Completion of Form ED-430, the EDA imprint of the standard application for Federal assistance prescribed by OMB Circular A-102 at Exhibit M-3. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A, of OMB Circular A-95 (revised). The application is submitted through an Economic Development Administration representative to the appropriate regional office.

**Award Procedure:** Grant applications are approved by the Assistant Secretary for Economic Development or by EDA Regional Directors. EDA gives notices of award to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Grant payments are made to grantees by Treasury check, in advance, by predetermined payment schedules.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 95 days.

**Appeals:** Not applicable.

**Renewals:** Grants are made for a 1-year period and are renewable if grantee performance is satisfactory.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 25 percent must be obtained from non-Federal sources except for grants to Indian tribes. This may be in the form of cash and in-kind contributions. The Secretary is authorized to fund up to 100 percent planning support grants to Indian tribes. The statistical factors used for eligibility are: (1) percentage of families in poverty and the source is P-60, CPR Census; (2) areas having unemployment rates above 8 1/2% for the last 3 months and areas of substantial unemployment and the source is BLS Monthly Estimates; (3) 25% out-migration from rural areas or any net out-migration and the source is the 1970 Decennial Census; (4) decline in per capita employment of more than 1.2 percentage points between 1960 and 1970 and the sources are the 1960 and 1970 Decennial Census; and (5) total area population and the source is P-25, CPR Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial reports; periodic progress reports; annual up-dating of an Overall Economic Development Program (OEDP).

**Audits:** All records relating to the grant program are subject to audit by EDA and by the Comptroller General of the U.S., or by their designee(s).

**Records:** Financial records must be maintained until three years after the completion of the grant project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants) FY 81 $14,600,000; FY 82 $17,600,000; and FY 83 $0.

**Range and Average of Financial Assistance:** $25,000 to $150,000; $50,000

**PROGRAM ACCOMPLISHMENTS:** The number of grantees for fiscal year 1980 was 236 districts, 82 Indian grants, and 6 other areas. The number or grantees for fiscal year 1981 was 274 districts, 74 indian grants and 5 other areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 13 CFR 303, 304, 307, 311. Economic Development Districts: A Job Creating Program; EDA Planning Grants for Economic Development; Designated Redevelopment Areas.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA regional office addresses.

**Headquarters Office:** Anthony Deangelo Director, Operations Directorate, Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 11.303, Economic Development—Technical Assistance; 11.305, Economic Development—State and Local Economic Development Planning; 11.306, Economic Development—District Operational Assistance; 23.009, Appalachian Local Development District Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Ecomonic Development District in Georgia comprised of 10 counties, including six Redevlopment Areas; a five-county district in Idaho with 3 RA's, one of them an Indian reservation; a single-county RA in Appalachian Pennsylvania; a 500,000-acre Indian reservation in New Mexico; a 30,000-acre Indian reservation in western New York.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria for funding include: (for area grants) prior designation as a Redevelopment Area; (for districts)--formation of a multi-county grouping which is economically cohesive and includes at least one Redevelopment Area, has the backing of the state governor(s) and at least three-fourths of the county governing bodies. The program presupposes continuing administrative support and new grants are rare. Priorities for selection of new grantees focus on extent of persistent economic distress, length of time potential grantee has been authorized or designated as a district, and interregional balance.

## 11.303 ECONOMIC DEVELOPMENT—TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965; Public Law 89-136, as amended; 42 U.S.C. 3151, 3152.

**OBJECTIVES:** To solve problems of economic growth in EDA-designated geographic areas and other areas of substantial need through administrative and demonstration project grants, feasibility studies, management and operational assistance, and other studies.

**TYPES OF ASSISTANCE:** Project Grants; Cooperative Agreements.

**USES AND USE RESTRICTIONS:** Technical assistance is used to provide information, data, and know-how in evaluating and/or shaping specific projects and programs related to economic development. It is used in economically depressed areas of the country and in similar sections of urban areas. Technical assistance may be in the form of services provided by direct grants, cooperative agreements or contracts. JOINT FUNDING. This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** While there are no specific applicant eligibility requirements, most technical assistance applicants are private nonprofit groups or State, municipal or county governments and U.S. Territories or entities thereof, located in economically depressed areas of the country. Technical assistance is given to small private business firms; however, this technical assistance must be repaid to the government.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** No rigid requirement. However, corporation charters are usually requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for non-profit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant should coordinate with EDA regional office serving his State. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact statement as well as an assessment is necessary for this program.

**Application Procedure:** Submit application to EDA regional office. State and local government applicants use Form ED-357A. Nonprofit, non-government applicants use Form ED-357NG. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants, contracts and transfers of funds to other Federal agencies, the tools used to provide information, data, and know-how in evaluating and/or shaping projects and programs related to economic development are approved by the Assistant Secretary for Economic Development, Department of Commerce. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 1 month to 3 months, or longer, depending upon condition of application.

**Appeals:** None.

**Renewals:** Technical assistance may be renewed. However, the limit is normally 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Technical assistance must be related to near-term job and income creation. For grants, contribution by grantee of 25 percent or more of total cost in cash or inkind is required. The statistical factors used for eligibility are: (1) percentage of families in poverty and the source is P-60, CPR Census; (2) areas having unemployment rates above 8 1/2% for the last 3 months and areas of substantial unemployment and the source is BLS Monthly Estimates; (3) 25% out-migration from rural areas or any net out-migraton and the source is the 1970 Decennial Census; (4) decline in per capita employment of more than 1.2 percentage points between 1960 and 1970 and the sources are the 1960 and 1970 Decennial Census; and (5) total area population and the source is the P-25, CPR Census. The statistical factor used for fund allocaton does not apply to this program.

**Length and Time Phasing of Assistance:** Varies, but usually period of one year or less. No time phasing. Disbursement schedules are made part of grant or contract and conditions may vary from project to project.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly reports are required.

**Audits:** Audits are performed on a regular basis; unusually large or complicated project grants are audited at midpoint and at the end of the grant period.

**Records:** Financial records are required to be kept for a period of 3 years following completion of grant.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants and Contracts) FY 81 $26,351,000; FY 82 $8,000,000; and FY 83 $0.

**Range and Average of Financial Assistance:** $1,000 to $476,000. Technical assistance projects (including contracts-average $25,000; grants average $60,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 259 projects were funded. In fiscal year 1981, 114 projects were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Leaflet entitled "EDA Technical Assistance, What It Is, How to Apply."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA regional office addresses.

**Headquarters Office:** Initial contact should be at the regional office level except for projects which are national in scope, in which case initial contact should be with headquarters office, Anthony Peangelo, Director, Operations Directorate, Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 11.302, Economic Development—Support for Planning Organizations; 11.306, Economic Development—District Operational Assistance; 11.800, Minority Business Development—Management and Technical Assistance; 23.009, Appalachian Local Development District Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Local Economic Development Corporations - primarily neighborhood development programs (Watts area in Los Angeles; South Bronx in New York City). University Center Program - a program using selected universities to provide management and technical assistance services to create jobs and business opportunities. Centers are located throughout the country. Model Demonstration Project - such as that developed in Jamestown, New York whereby the Jamestown Labor Management Committee received assistance for a program concerned with improving the quality of working life as a means of stimulating long range economic activity and growth. Similar programs tie in with communities in Ohio, Massachusetts, Pennsylvania, Maryland, etc. National Organizations Assistance - such as the U.S. Conference of Mayors for a program to strengthen the role of mayors in stimulating local, job-creating economic growth; the National Council of LaRaza for training programs for elected officials in Mexican-American communities. Others similarly assisted: The Council for Urban Economic Development; National Conference of Black Mayors; Northeastern Miricipal Economic Development Program; National League of Cities; Rural Area Assistance - Support for the National Rural Center and its program for helping many small communities cope with changing conditions. The Society of Industrial Realtors - assistance for a program to encourage experienced realtors and industry to participate in revitalization projects.

**CRITERIA FOR SELECTING PROPOSALS:** EDA's Operational Planning and Control System (OPCS) plus the Comprehensive Economic Development Strategy (CEDS) link the Agency's Overall Economic Development Program requirements for planning and investment of its resources with the long-term recovery needs of those economically distressed areas with high unemployment and underemployment and low residential income. Planning targets are based largely on numbers of the unemployed, the unemployment rate, the per capital income, the numbers of eligible entities served, strategic needs and previous history of expenditures. Technical assistance projects are more likely to be approved when: Projected employment gains are relatively specific and realistic, and are realizable in the near future. The applicant shows evidence of strong leadership and financial capability to follow up positive findings vigorously. The project will benefit groups most disadvantaged in terms of low income and unemployment. The applicant shares or otherwise furnishes part of the project cost. The project helps to establish or expand a local organization that is likely to become a self-sustaining agent promoting economic growth. The project is of wide application throughout the Nation. The project otherwise contributes substantially to overall objectives of the Act. The project is in an EDA-designated area or other area of substanital need. The project will benefit additional areas.

## 11.304 ECONOMIC DEVELOPMENT—PUBLIC WORKS IMPACT PROJECTS

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965; Public Law 89-136, as amended; 42 U.S.C. 3131, 3135.

**OBJECTIVES:** To provide immediate useful work to unemployed and underemployed persons in designated project areas.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Construction of public facilities to provide immediate jobs to the unemployed and underemployed in the project area. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, cities, counties, and other political subdivisions, Indian tribes, and private or public nonprofit organizations representing a redevelopment area or economic development center. Corporations and associations organized for profit are not eligible.

**Beneficiary Eligibility:** Unemployment and underemployed persons and/or members of low-income families.

**Credentials/Documentation:** Description of proposed facility, estimated costs, extent of proposed project, direct temporary construction job impact, estimated time for construction implementation, and assurance that the project will satisfy statutory requirements. Most important, documentation must demonstrate how the project will have a positive impact on the economic development process in the community. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Economic Development Administration representative will meet with applicant and community leaders to establish basis for preapplication conference. After reviewing project and local development profile information with the regional office, the EDR will notify applicant immediately if EDA cannot accept the project. If project appears viable, a preapplication conference may be arranged with regional office personnel. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment, and when necessary, an environmental impact statement is required for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applicant should contact the regional office servicing the State in which the project is to be located. An Economic Development Administration Representative assigned as coordinator of the project for EDA will provide necessary forms and assist in filling them out. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grant applications from eligible applicants are approved by the Assistant Secretary of Economic Development, Department of Commerce or the appropriate Regional Director.

Contract awards should be made on the lowest base bid submitted by a responsible bidder, with a responsible bidder defined as one who can furnish 100 percent performance and payment bond and who meets the applicable State and local statutory requirements. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normally within 90 days of acceptance of application.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The basic grant rate for special impact areas is 80 percent except for Indian areas, where the rate can be 100 percent. Local matching share may be waived if appropriate entity can demonstrate that it has exhausted its effective taxing and/or borrowing capacity. The statistical factors used for eligibility are: (1) median family income and the source is the 1970 Census; (2) unemployment rate and the source is the BLS Monthly Estimates of Unemployment; (3) Indian land and the source is the Bureau of Indian Affairs or State agency. Sudden Rise Redevelopment Areas Calculated from: (4) areas having 1,500 or more population and the source is P-25, Census; (5) number unemployed and the source is the State, county, and selected employment, BLS; (6) unemployment rate and the source is the State, county, and selected employment, BLS; (7) percentage of families in poverty and the source is P-60, CPS, Census; (8) areas having 25% out-migration from rural areas or any net out-migration and the source is Decennial Census, 1970; (9) decline in per capita employment of more than 1.2 percentage points between 1960 and 1970 and the source is the Decennial Census, 1960, 1970; and (10) total area population and the source is the P-25, Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** EDA grant funds are disbursed for costs incurred only after all contracts for construction have been awarded.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Weekly payrolls of construction employees.

**Audits:** Each recipient is required to keep records that will facilitate an effective audit of project.

**Records:** As necessary for above-mentioned audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants) FY 81 $38,800,000; FY 82 $12,000,000; and FY 83 $0 in total estimate for program 11.300.

**Range and Average of Financial Assistance:** Priority to projects of $600,000 or less; $220,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 55 projects were approved. In fiscal year 1981, 62 projects were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Building Communities with Jobs, EDA"; "Grants and Loans for Public Works and Development Facilities, EDA"; Title 13, Code of Federal Regulations, Chapter III; "Qualified Areas under the Public Works and Economic Development Act of 1965.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Anthony Deangelo, Director, Operations Directorate, Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 11.300, Economic Development—Grants for Public Works and Development Facilities; 11.302, Economic Development—Support for Planning Organizations; 11.303, Economic Development—Technical Assistance; 11.307, Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration.

**EXAMPLES OF FUNDED PROJECTS:** 1) Renovation of public buildings, including historic preservation and energy conservation; 2) Repairing streets and roads; 3) Construction of needed community facilities; 4) Replacement or rehabilitation of transportation facilities; 5) Construction of water/sewer systems.

**CRITERIA FOR SELECTING PROPOSALS:** Project must be located in qualified designated areas (high unemployment and low-income levels) and must provided immediate useful employment with a goal of establishing some type of long-term benefit. Project must contain a significant amount of on-site labor costs and must provide employment for the unemployed. There must be a demonstrated need for the project and construction should be able to begin immediately.

## 11.305 ECONOMIC DEVELOPMENT—STATE AND LOCAL ECONOMIC DEVELOPMENT PLANNING

### (302(a) Grants-State and Urban Planning Programs)

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works And Economic Development Act of 1965; Public Law 89-136 as amended; 42 U.S.C. 3121 et seq.

**OBJECTIVES:** To develop the capability of State and local governments to undertake an economic development planning process that is comprehensive in scope, is coordinated with that of other levels of governmental planning activities, and leads to the formulation of development goals and specific strategies to achieve them, with particular emphasis on reducing unemployment and increasing incomes.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are used for planning staff salaries and related administrative expenses. Pass through of grant funds is prohibited; (e.g. State grants may not be distributed to substate planning districts or to city planning department). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are the Governor of a State and the chief executive officer of the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa and the Northern Mariana Islands; and chief executives of cities and counties meeting EDA eligibility criteria.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Environmental impact statement as well as an assessment is necessary. Informal preapplication conferences may be requested if needed. Assistance in the preparation of an application may be requested from the appropriate EDA Regional Office. The standard application form ED-430 as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program, Attachment M is applicable.

**Application Procedure:** Application submitted on Form ED-430, original and two copies to EDA Regional Office, which are transmitted with recommendations to EDA Washington. A state plan is not required.

**Award Procedure:** Grant approval by the Deputy Assistant Secretary for Economic Development Policy and Planning, Department of Commerce. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 days.

**Appeals:** Not applicable.

**Renewals:** Grants are made for a 1-year period and are renewable if program performance standards are satisfactory.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No legal or administrative regulations prescribe factors to be used to allocate funds among eligible applicants. A minimum of 25 percent must be obtained from non-Federal sources. This may be in the form of cash and/or in-kind contributions. The statistical factors used for eligibility are: (1) percentage of families in poverty and the source is the P-60, CPR Census; (2) areas having unemployment rates above 8 1/2% for the last 3 months and areas of substantial unemployment and the source is the BLS Monthly Estimates; (3) 25% out-migration from rural areas or any net out-migration and the source is the Decennial Census 1970; (4) decline in per capita employment of more than 1.2 percentage points between 1960 and 1970 and the source is the Decennial Census 1960, 1970; (5) total area population and the source is the P-25, CPR Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial reports, annual program report due 60 days prior to anniversary of grant.

**Audits:** All records relating to the grant program are subject to audit by the Department of Commerce and by the Comptroller General of the U.S., or by their designee(s).

**Records:** Financial records must be maintained until 3 years after the completion of the grant project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants) FY 81 $9,200,000; FY 82 $7,400,000; and FY 83 $0.

**Range and Average of Financial Assistance:** States: $50,000 to $300,000, average $140,000. Cities: $70,000 to $225,000, average $95,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 49 State planning grants 84 urban planning grants and 18 metropolitan area grants were funded. In fiscal year 1981, 48 States and Territories, 83 cities and urban counties, and 12 metropolitan areas were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations in Federal Register of September 29,1977, Vol. 42 Number 189.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA Regional Office address.

**Headquarters Office:** Anthony Deangelo, Director, Operations Directorate, of Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 11.302, Economic Development—Support for Planning Organizations; 11.306, Economic Development—District Operational Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Grants are made solely for supporting comprehensive economic development planning at the State, county and city level.

**CRITERIA FOR SELECTING PROPOSALS:** All eligible State applicants will be funded if an acceptable work program is submitted. New county and city applications are reviewed for both the adequacy of the proposed work program and the degree to which the applicant meets EDA's eligibility criteria.

## 11.306 ECONOMIC DEVELOPMENT—DISTRICT OPERATIONAL ASSISTANCE

### (302(b) Grants-Professional Services)

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965, Public Law 89-136, as amended; 42 U.S.C. 3151, 3152.

**OBJECTIVES:** To assist Economic Development Districts in providing professional services (other than by grant) to their local governments.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are used to provide practical professional assistance to local governments within Economic Development Districts. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Chief officers of governing bodies of Economic Development Districts designated by the Secretary of Commerce pursuant to Section 403 of the Public works and Economic Development Act of 1965, as amended.

**Beneficiary Eligibility:** Local governments which are within Economic Development Districts.

**Credentials/Documentation:** Grants to provide professional assistance to local governments - no credentials or documentation required with application. Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Evidence of adherence to review procedures will be required. Informal pre-application conferences may be requested if needed. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Completion of Form ED-430 (Planning Assistance Application); submission of original application to the appropriate EDA Regional Office.

**Award Procedure:** Approval is by the Regional Director or Deputy Assistant Secretary for Policy and Planning, Department of Commerce. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 120 days.

**Appeals:** Not applicable.

**Renewals:** Grants are usually made for only a 1-year period although some are renewable under extenuating circumstances due to the nature of the project.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** EDA requires that at least 25 percent be obtained from non-Federal sources. The statistical factors used for eligibility are: (1) percentage of families in poverty and the source is the P-60, CPR Census; (2) areas having unemployment rates above 8 1/2% for the last 3 months and areas of substantial unemployment and the source is the BLS Monthly Estimates; (3) 25% out-migration from rural areas or any net out-migration and the source is the Decennial Census 1970; (4) decline in per capita employment of more than 1.2 percentage points between 1960 and 1970 and the source is the Decennial Census 1960, 1970; and (5) total area population and the source is the P-25, CPR Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A maximum of four financial reports and two program reports for a 12 month grant.

**Audits:** All records relating to the grant program are subject to audit by EDA and by the Comptroller General of the U.S., or by the designee(s) of either.

**Records:** Financial records must be maintained until 3 years after completion of the grant project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants) FY 81 $500,000; FY 82 $500,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $10,000 to $25,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 21 professional service type grants were made. In fiscal year 1981, there were 16 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 13 CFR 307 D; Economic Development Districts: A Job-Creating Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA regional office addresses.

**Headquarters Office:** Director, Anthony Deangelo, Director, Operations Directorate, Economic Development Administration, Department of Commerce, Washington, DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 11.302, Economic Development—Support for Planning Organizations; 11.303, Economic Development—Technical Assistance; 11.305, Economic Development—State and Local Economic Development Planning.

**EXAMPLES OF FUNDED PROJECTS:** 1.) Export Development Program for Georgia Mountains Planning and Development Commission, Gainesville, Georgia. The staff trade specialist, working closely with Internatinal Trade Administrartion field staff, provides direct technical and referral assistance to local business and industry to promote local export development activity. Both manufactural and agricultural goods have been exported successfully by new-to-export companies. 2.) The incorporation of energy considerations into the local economic development processes is well underway in the North Central Planning Commission, Devils Lake, North Dakota, as part of an EDA-Department of Energy jointly funded grant. .

**CRITERIA FOR SELECTING PROPOSALS:** On competitive basis subject to national program objectives, availability of support services and of complementary activities and strengths of the applicant Economic Development District.

## 11.307 SPECIAL ECONOMIC DEVELOPMENT AND ADJUSTMENT ASSISTANCE PROGRAM—LONG-TERM ECONOMIC DETERIORATION (LTED)

**FEDERAL AGENCY:** ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Public Works and Economic Development Act of 1965, as amended, Public Law 89-136; 42 U.S.C. 3121 et seq.

**OBJECTIVES:** To assist State and local areas in the development and implementation of strategies designed to arrest and reverse the problems associated with long-term economic deterioration.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to develop a strategy for the arrest and reversal of long-term economic decline or for any of the following: Public facilities, public services, business development, technical assistance, training, and revolving loan fund activities to carry out such a plan. A grantee may not make a subgrant to a private profit-making entity; however, loans may be made to such entities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Cities, counties or other political subdivisions, consortium of political subdivisions, public or private non-profit organizations representing redevelopment areas designated under the Public Works and Economic Development Act of 1965, Economic Development Districts established under Title IV of the Act, Indian tribes and states.

**Beneficiary Eligibility:** Grants may be used in direct expenditures by the eligible recipient or through redistribution by the recipient to public and private entities, in the form of grants, loans, loan guarantees, or other appropriate assistance.

**Credentials/Documentation:** Applications for assistance to develop a strategy must identify the manifestations of the long-term deterioration, including the existing or anticipated problem and its impact, and show how the strategy will be part of a more comprehensive planning framework for the entire community. Identification of target areas and/or target populations on which the strategy will focus will usually be required. Applications to implement a strategy must demonstrate its relationship to the strategy for an area (regardless if strategy was funded by Title IX), the degree to which the program will benefit the economically blighted area and/or disadvantaged population and the relationship to other related investments in the area.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** EDA's State Economic Development Representative (EDR) or regional office representative will meet with the applicant to establish the basis for a preapplication conference. The EDR will notify the applicant if EDA cannot accept an application under this program. If the proposed program appears viable, a preapplication conference will be arranged with regional office personnel. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An EDA Title IX application form will be used for this program. The standard application forms as required by OMB Circular No. A-102 must be used for this program. An environmental impact statement as well as an assessment is necessary.

**Application Procedure:** If an application is authorized, an EDR assigned as coordinator of the project for EDA will provide necessary forms and assist in filling them out.

**Award Procedure:** Grant applications from States, local subdivisions thereof, Indian tribes, and private or public nonprofit organizations or associations representing a redevelopment area or a designated economic development center are approved by the Assistant Secretary for Economic Development, Department of Commerce. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normally within 90 days of application.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A 25 percent matching share, cash or in-kind, is generally required. It may be waived under certain conditions. The statistical factors used for eligibility are: (1) very high unemployment and the source is the State, county, and selected employment, BLS; (2) low per capita income and the source is the Revenue Sharing Data, Treasury/Census; (3) chronic distress calculated from: 5 year average unemployment rate greater than national and the source is State, county, and selected employment, BLS; 5 year growth in employment less than national average and the source is the State, county, and selected employment, BLS; 5 year growth in population less than national average and the source is the 1970 Census; 1976 - P-25, Population Estimates; and 5 year dollar change in per capita income less than national average and the source is Revenue Sharing Data, Treasury/Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:** Grants for development of a plan will normally be for a period less than 12 months. Grants to carry out a plan are usually made for a period consistent with effective implementation of the plan. Disbursements will be made as necessary to implement specific projects.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports are required for each year that the assistance continues and for one year after final disbursement of funds (except semi-annually for revolving loan fund assistance).

**Audits:** Each recipient of financial assistance is required to keep such records as will facilitate an effective audit, which is required.

**Records:** As necessary for audit and as required by OMB Circular No. A-102 or A-110.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-2050-0-1-452.

**Obligations:** (Grants) FY 81 $23,943,000; FY 82 $33,000,000; and FY 83 $0.

**Range and Average of Financial Assistance:** No specific minimum or maximum size. Estimate for development of plans, $25,000 to $150,000; for carrying out plans, $200,000 to $5,000,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 89 projects were funded. In fiscal year 1981, 17 projects were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 13 CFR 308, further guidelines and literature available from Regional Offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for EDA regional office addresses.

**Headquarters Office:** Anthony Deangelo, Director, Operations Directorate, Economic Development Administration, Department of Commerce, Washington DC 20230. Telephone: (202) 377-3081.

**RELATED PROGRAMS:** 12.600, Community Economic Adjustment.

**EXAMPLES OF FUNDED PROJECTS:** Grants received (1) for the establishment of industrial land banking; (2) to develop a strategy to reverse economic decline in distressed cities; (3) for public infrastructure and institutional support; (4) to establish revolving loan funds; and (5) for neighborhood revitalization.

**CRITERIA FOR SELECTING PROPOSALS:** LTED strategy grant projects are based on the needs of the eligible area. Implementation grants will be evaluated on the basis of the needs of the eligible area and the applicant's ability to use the LTED funds effectively. Indications of need include: outmigration and/or decline of industries; erosion of tax base; loss of employment opportunities/dislocation of workers; physical deterioration; and, decline of economic base. In addition, indications of applicant's ability to use LTED funds effectively is a major part of the selection criteria. Examples include: The degree to which the proposed LTED activity is targeted to the more economically distressed population and/or physically deteriorated areas; the availability of land and facilities to achieve the desired results set forth in the LTED strategy; the level of preparedness and capacity of the applicant to administer the LTED strategy; the innovative use of LTED funds; the degree of joint involvement and cooperation with other Federal, State and local entities in the formulation and proposed implementation of the LTED strategy; and, the diversity of funding sources and mechanisms proposed in the LTED strategy.

# NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

## 11.400 GEODETIC SURVEYS AND SERVICES
## (Geodesy)

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coast and Geodesy Survey Act; Public Law 80-373; 33 U.S.C. 883A; Office of Management and Budget Circular No. A-16, (revised), May 6, 1967; Reorganization Plan No. 4, 1970.

**OBJECTIVES:** To provide national coordinate networks of horizontal and vertical geodetic control monuments at various specified intervals which provide scale, orientation, coordinate positions, and elevations of specific points for use in surveying, boundary delineation and demarcation, mapping, planning, and development.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Extend National networks into areas not adequately covered by the networks. Cooperative services on a cost sharing basis in the extension of monumentation is limited to the density defined as Federal responsibility. However, utilization of basic data for monumented networks in local densification surveys is unrestricted. Geodetic coordinates and elevations describe baselines from which restricted coastal boundaries are delineated, and other boundaries are marked. They form the standards of reference on which State plane coordinate systems, land and public utility records, and boundary delineations are based.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, local, municipal, or regional agency.

**Beneficiary Eligibility:** See Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Write the headquarters office.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Negotiated. Each individual requirement is evaluated on the basis of need, priority, source of funds for State or local contribution to NOAA, and how the provided work contributes to the national networks.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Operations, research, and facilities) FY 81 $14,114,000; FY 82 est $15,004,000; and FY 83 est $14,491,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 171 marked horizontal control points were occupied and 7,600 km of leveling were run to add to and update the national geodetic networks. In FY 1982, 125 horizontal stations will be occupied and 10,000 km of leveling will be run to add to and update the National geodetic networks. In FY 1983, 100 horizontal stations will be occupied and 12,000 km of leveling will be run to add to and update the National geodetic networks.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director of National Geodetic Survey, National Ocean Survey, National Oceanic and Atmospheric Administration, Rockville, MD 20852. Telephone: (301) 443-8600.

**RELATED PROGRAMS:** 11.003, Census Geography; 11.401, Nautical Charts and Related Data; 15.800, Geologic and Mineral Resource Surveys and Mapping; 15.801, Cartographic Information; 15.803, National Mapping, Geography and Surveys; 15.804, Water Resources Investigations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.401 NAUTICAL CHARTS AND RELATED DATA

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coast and Geodetic Survey Act; Public Law 80-373; 33 U.S.C. 883A; Reorganization Plan No. 4, 1970.

**OBJECTIVES:** To provide nautical charts as an aid to safe navigation on coastal waterways and oceans of the United States for commercial, recreational, and governmental use.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** This program involves nautical charting surveys and the compilation, printing, and distribution of nautical charts for all coastal waters and Great Lakes of the United States and its territories, and in certain fresh water lakes and waterways not otherwise provided for by statute. In addition, tides and tidal currents are measured, analyzed, and predicted. Selected products, data, and information are provided for the use of academic, scientific, and research groups.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, county, or municipality is eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Write to headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Operations, research, and facilities) FY 81 $14,016,000; FY 82 est $15,033,000; and FY 83 est $15,603,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1983, NOS will issue 7 new nautical charts, and 317 revised charts; published 10 bathymetric maps. NOS will contribute 95 correction chartlets for publication in the Notice to Mariners. A total of 9 Coast Pilots will be on issue. Eight revised Coast Pilot editions will be published in fiscal year 1983. A total of 984 conventional charts will be on issue. Ninety small-craft charts will be maintained. There will be 28,000 linear nautical miles of hydrographic surveys accomplished. During fiscal year 1981, NOS issued seven new nautical charts, and 399 revised charts; published 11 bathymetric maps. NOS contributed 75 correction chartlets for publication in the Notice to Mariners. A total of nine Coast Pilots were on issue. Eight revised Coast Pilot editions were published in fiscal year 1981. A total of 980 conventional charts were on issue. Eighty-Nine small craft charts were maintained. There were 29,500 linear nautical miles of hydrographic surveys accomplished. During fiscal year 1982, NOS will issue 5 new nautical charts, and 512 revised charts; publish 11 bathymetric maps. NOS will contribute 95 correction chartlets for publication in the Notice to Mariners. A total of 9 Coast Pilots are on issue. 8 revised Coast Pilot editions will be published in fiscal year 1982. A total of 984 charts are on issue. 90 small craft charts will be maintained. There will be 30,000 linear nautical miles of hydrographic surveys accomplished.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Summary of the National Ocean Survey Technical Publications and Charts, available from the Director, National Ocean Survey, Rockville, Maryland 20852.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Associate Director, Office of Marine Surveys and Maps, National Ocean Survey, National Oceanic and Atmospheric Administration, 6001 Executive Boulevard, Rockville, MD 20852. Telephone: (301) 443-8660.

**RELATED PROGRAMS:** 11.400, Geodetic Surveys and Services; 15.800, Geologic and Mineral Resource Surveys and Mapping; 20.001, Boating Safety.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.402 MARINE BOUNDARY PROGRAM

**FEDERAL AGENCY:** NATIONAL OCEAN SURVEY, NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** 33 U.S.C. 883a, 883b, 883d and 883e.

**OBJECTIVES:** To provide cooperative support to States in conducting marine boundary surveys.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Federal government, in cooperation with State and local governments, provides the basic data required to help reduce questions involving Federal/State areas of jurisdiction, and similar disputes involving State and local governments and private ownership.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, local, municipal, or regional agency.

**Beneficiary Eligibility:** Any State, local, municipal, or regional agency.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Write to Headquarters Office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Negotiated. Each individual requirement is evaluated on the basis of need, priority, source of funds for State or local contribution to NOAA, and how the cooperative endeavor would support the Nautical Charting Program.

**Length and Time Phasing of Assistance:** Varied. Dependent upon level of funding, geographic area of Coastal Zone, and density of tide stations required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Salaries and expenses) FY 81 $1,000,000; FY 82 est $1,000,000; and FY 83 est $500,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, field aquisition of data was completed at 168 tide stations, analysis of 1003 station months of data were completed and published datuns were computed for 178 locations. During FY 82 field acquisition of data will be completed at 120 tide stations, analysis of 1000 station months of data will be completed and published datuns will be computed for 180 locations. Due to the budget cut in FY 83 no field data will be collected and only reimbursable data analysis and data computation will be performed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Associate Director, Office of Oceanography, National Ocean Survey, National Oceanic and Atmospheric Administration, Rockville, MD 20852. Telephone: (301) 443-8487.

**RELATED PROGRAMS:** 11.400, Geodetic Surveys and Services; 11.401, Nautical Charts and Related Data.

**EXAMPLES OF FUNDED PROJECTS:**

**CRITERIA FOR SELECTING PROPOSALS:**

## 11.405 ANADROMOUS AND GREAT LAKES FISHERIES CONSERVATION

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Anadromous Fish Act of 1965; Public Law 89-304 as amended; 16 U.S.C. 757a.f.; Reorganization Plan No. 4, 1970.

**OBJECTIVES:** To cooperate with the states and other non-Federal interests in the conservation, development, and enhancement of the nation's anadromous fish and the fish in the Great Lakes and Lake Champlain that ascend streams to spawn, and for the control of sea lamprey.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds can be used for spawning area improvement, installment of fishways, construction of fish protection devices and hatcheries, and research to improve management and increase anadromous fish resources. Funds cannot be used for law enforcement, public relations, or construction of facilities and vessels, the primary purpose of which is to commercially harvest, handle, and process fishery products. In addition, funds cannot be used for projects in the Columbia River Basin. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any interested person or organization may propose a cooperative undertaking. However, all proposals must be coordinated with the State fishery agency having responsibility for the resource to be affected by the proposal.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications must be coordinated with State fishery agency having responsibility for the resource affected by the proposal. This program requires the submission of an environmental impact statement and an environmental assessment. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Submission of Application Form OMB No. 29-R0218 to the appropriate regional or area office of the National Marine Fisheries Service listed in Appendix IV of the Catalog.

**Award Procedure:** Funds are made available on reimbursable basis or by advance payment at the cooperator's request through regional offices. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Project application should be submitted 60 days in advance of desired effective date.

**Range of Approval/Disapproval Time:** 20 to 45 working days.

**Appeals:** No formal appeal procedure. If application is unacceptable, the reasons are fully stated to the applicant. If the applicant desires to resubmit application, project must be revised in accordance with recommended changes.

**Renewals:** No renewal. However, an approved on-going project can be extended by submission of an amendment document.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal share of a project cost shall not exceed 50 percent. When two or more states enter into a cooperative agreement, the Federal share of the cost shall be increased to a maximum of 66 2/3 percent. Real and personal property owned or controlled by a cooperator may be used in lieu of matching funds. Such real and personal property must be directly related to the work involved and must be an appropriate cost item of the project. Property may be used as matching funds until the total appraised value is exhausted.

**Length and Time Phasing of Assistance:** Length is from 1 to 3 years with exact time specified in grant documents; disbursements are generally quarterly and sometimes monthly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress or segment reports, which are usually annual, or others as requested by Region Offices of the National Marine Fisheries Service. Progress reports may be in the form of a manuscript. A completion report is submitted upon completion of work described in approved project proposal. Format for reports is determined by recipient.

**Audits:** Periodic Federal audits of recipient's financial management of projects, including subcontracts, will be conducted. Audits ascertain fiscal compliance with Act, regulations, and project agreement requirements.

**Records:** All records of accounts and supporting documents will be retained by recipient and subcontractors for a period of 3 years from date of submission of final expenditure report.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Grants) FY 81 $3,395,000; FY 82 est $4,730,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** FY 81 $5,108 to $394,360; $75,397.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 49 awards were made to 18 States and five other non-Federal interests. In FY 1981 63 awards were made to the same recipients; FY 1982 data are unavailable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR Part 401 and Federal Aid Handbook NOAA No. 22 available from Director, NMFS, National Oceanic and Atmospheric Administration, Rockville, MD 20852, or from regional offices (see appendix) without cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Potential applicants should make initial contact relative to this program at the Regional Office of the National Marine Fisheries Service (NMFS) listed in Appendix IV.

**Headquarters Office:** Chief, State Federal Division, National Marine Fisheries Service, Page Bldg. 2, 3300 Whitehaven Street, N.W., Washington, DC 20235. Telephone: (202) 634-7454.

**RELATED PROGRAMS:** 11.407, Commercial Fisheries Research and Development; 11.417, Sea Grant Support; 15.600, Anadromous Fish Conservation; 15.604, Fishery Research—Information; 15.605, Fish Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Research projects to determine population characteristics and monitor catch, escapement and production levels of anadromous species, construction projects to build or modernize hatcheries, operation and maintenance of hatcheries, fish screens and fishways, tagging studies, etc.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are judged on the degree to which they contribute to the purposes of the Act, expected results and benefits, soundness of scientific approach, cost effectiveness, and other factors.

## 11.407 COMMERCIAL FISHERIES RESEARCH AND DEVELOPMENT

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Commercial Fisheries Research and Development Act of 1964 as amended; Public Law 88-309; Public Law 92-590 and Public Law 90-551; 16 U.S.C. 779-779f; Reorganization Plan No. 4, 1970.

**OBJECTIVES:** To promote State commercial fishery research and development in the 50 States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and trust territory of the Pacific Islands.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds can be used for research and development of commercial fishery resources, including construction of facilities. Funds cannot be used for law enforcement, public relations, or construction of facilities and vessels, the primary purpose of which is to commercially harvest, handle, or process fishery products.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The agency of a State government authorized under its laws to regulate commercial fisheries.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The Governor of each State shall notify the Secretary of Commerce which State agency is authorized to regulate commercial fisheries. An official of the State agency shall certify as the official(s) authorized in accordance with State law to commit the State to participation under the Act, to sign project documents, and to receive payments. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program requires the submission of an environmental impact statement and an environmental assessment. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Submission of application form OMB No. 29-R0218 to the director of the national appropriate regional director National Marine Fisheries Service (NMFS) listed in Appendix IV.

**Award Procedure:** Funds are made available to cooperators through regional offices on an advance or reimbursement basis. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Project application should be submitted 30 days in advance of desired effective date, and 30 days prior to the end of the 2 year availability period.

**Range of Approval/Disapproval Time:** 20 to 45 working days.

**Appeals:** No formal appeal procedure. If application is unacceptable the reasons are fully stated to the applicant. If the applicant desires to resubmit application, project must be revised in accordance with recommended changes.

**Renewals:** No renewal. However, an approved on-going project can be extended by submission of an amendment document.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Apportionment to States is based on average value of raw fish landed and manufactured fishery products. No State may receive less than 1/2 of 1 percent or more than 6 percent of funds appropriated in any fiscal year. Federal funding is not to exceed 75 percent of approved project costs. The statistical factors used for fund allocation are: (1) 3 year average of value of commerical fish landed and the source is the "Fishery Statistics of the U.S.", and (2) value of fish processed and the source is the "Fishery Statistics of the U.S."

**Length and Time Phasing of Assistance:** The life of the Act. Federal funds remain available for obligation until September 30 of the fiscal year following the year in which apportioned.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress or segment reports, which are usually annual, or others as requested by regional offices of the National Marine Fisheries Service. Progress reports may be in the form of a manuscript. A completion report is submitted upon completion of work described in approved project proposal. Format for reports is determined by recipient.

**Audits:** Periodic Federal audits of recipient's financial management of projects, including subcontracts, will be conducted. Audits ascertain fiscal compliance with Act, regulations, and project agreement requirements.

**Records:** All records of accounts and supporting documents will be retained by recipient and subcontractors for a period of 3 years from date of submission of final expenditure report.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Grants) FY 81 $5,868,000; FY 82 est $4,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $2,500 to $210,000; $63,200.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 145 awards were made in 50 States, Puerto Rico, Virgin Islands, Guam, American Samoa, and trust territory of the Pacific Islands. The same is expected for fiscal years 1981 and 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR Part 253; Federal Aid Handbook NOAA No. 22; and "Federal Aid Program Activities 1980," available from Director, National Marine Fisheries Service, Washington, DC 20240.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Potential applicants should make initial contact relative to this program at the region or area offices of the National Marine Fisheries Service listed in Appendix IV.

**Headquarters Office:** Chief, State/Federal Division, National Marine Fisheries Service, 3300 Whitehaven St. N.W., Washington, DC 20235. Telephone: (202) 634-7454.

**RELATED PROGRAMS:** 11.405, Anadromous and Great Lakes Fisheries Conservation; 11.417, Sea Grant Support; 15.600, Anadromous Fish Conservation; 15.604, Fishery Research—Information; 15.605, Fish Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Fisheries monitoring, assessment and evaluation, extension and marketing services, construction, operation and maintenance of research facilities, collection compilation evaluation and elimination of commercial fisheries statistics, aquaculture experiments, etc.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are judged on the degree to which they contribute to the proposes of the Act, expected results and benefits, soundness of scientific approach, cost effectiveness, and other factors.

## 11.408 FISHERMEN'S CONTINGENCY FUND

### (Title IV)

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Outer Continental Shelf Land Act amendments of 1978, Title IV, Section 402.

**OBJECTIVES:** To compensate U.S. commercial fishermen for damage/loss of fishing gear and resulting economic loss due to oil and gas related activities in any area of the Outer Continental Shelf.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Loss must be documented.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be U.S. commerical fisherman.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Financial statements, records, logbooks, receipts, and estimates.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit application to Chief, Financial Services Division, National Marine Fisheries Service, Washington, DC 20235.

**Award Procedure:** Notification of applicants.

**Deadlines:** 60 day statutory filing period for claims. Presumption of causation allowed if reported within 5 days of occurance of casualty.

**Range of Approval/Disapproval Time:** 3 to 6 months.

**Appeals:** U.S. Court of Appeals.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** No post-award audits.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-5120-0-2-376.

**Obligations:** (Direct Payments) FY 81 $41,000; FY 82 est $765,000; and FY 83 est $206,000.

**Range and Average of Financial Assistance:** Range $500 to $20,000; Average $4,100. Average $3,500.

**PROGRAM ACCOMPLISHMENTS:** From FY 79 through FY 81 claims were submitted, 39 were approved and 21 are in process.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available from Chief, Financial Services Division, National Marine Fisheries Service.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Chief, Financial Services Division, National Marine Fisheries Service as listed in Appendix IV of the Catalog.

**Headquarters Office:** Chief, Financial Services Division, National Marine Fisheries Service, 3300 Whitehaven St., NW, Washington, DC 20235. Telephone: (202) 634-7496 Contact: Michael Grable.

**RELATED PROGRAMS:** 11.409, Fishing Vessel and Gear Damage Compensation Fund.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.409 FISHING VESSEL AND GEAR DAMAGE COMPENSATION FUND

### (Section 10)

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Fishermen's Protective Act of 1967 as amended in Public Laws 95-376, and 95-561.

**OBJECTIVES:** To compensate U.S. fishermen for the loss, damage, or destruction of their vessels by foreign fishing vessels and their gear by any vessel.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** (1) Claimant must be a U.S. fisherman, (2) Incident causing claim must have occurred within the U.S. Fishery Conservation Zone or in an area where the U.S. has exclusive management authority, and (3) Claims are paid for depreciated replacement cost of gear and economic loss based on 25% of gross income lost.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be a U.S. fisherman (citizen).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Affidavits, receipts, estimates, logbooks, and inventories.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit application to Chief, Financial Services Division, National Marine Fisheries Service.

**Award Procedure:** Notification of applicants.

**Deadlines:** 90 day statutory filing period.

**Range of Approval/Disapproval Time:** 60 days or less.

**Appeals:** To the Assistant Administrator, National Marine Fisheries Service.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** Secretary has the right to inspect property and records associated with the claim.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-5119-0-2-376.

**Obligations:** (Direct Payments) FY 81 $1,849,000; FY 82 est $4,247,000; and FY 83 est $2,682,000.

**Range and Average of Financial Assistance:** $600 to $150,000; $7,214.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 689 were submitted, 658 approved. There were 557 claims submitted and 138 approved in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available from Chief, Financial Services Division, National Marine Fisheries Service.

**INFORMATION CONTACTS:**

**Regional or Local Office:** National Marine Fisheries Service as listed in Appendix IV.

**Headquarters Office:** Chief, Financial Services Division, Attn: Michael Grable, National Marine Fisheries Service, Department of Commerce, 3300 Whitehaven St., NW, Washington, DC 20235. Telephone: 202-634-7496.

**RELATED PROGRAMS:** 11.408, Fishermen's Contingency Fund.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.410 FISHERMEN'S GUARANTY FUND
## (Section 7)

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Section 7 of the Fishermen's Protective Act of 1967; Public Law 90-482, as amended by Public Law 92-569; 22 U.S.C. 1971-1977; Reorganization Plan No. 4, 1970; Public Law 94-265.

**OBJECTIVES:** To provide for reimbursement of losses incurred as a result of the seizure of a U.S. commercial fishing vessel by a foreign country on the basis of rights or claims in territorial waters or on the high seas which are not recognized by the United States.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Reimbursement of losses and costs (other than fines, license fees, registration fees) and other direct costs which are reimbursable through the Secretary of State) incurred as a result of seizure. The vessel must be documented or certified under the laws of the United States.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a U.S. citizen and the owner or charterer of a fishing vessel documented as such by the United States.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of documentation and proof of claim.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Any owner desiring to enter into an agreement with the Secretary of Commerce under the authority of Section 7 of the Act shall make application to the Chief, Financial Services Division, National Marine Fisheries Service, 3300 Whitehaven St. N.W., Washington, DC 20235, on an application form furnished by that Agency. The application shall be accompanied by a fee in the amount established by a fee schedule in effect at the time of application. After agreement is executed, no fee paid or portion thereof is returnable.

**Award Procedure:** Cash Settlement.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 1 to 6 months.

**Appeals:** Contact Chief, Financial Services Division.

**Renewals:** Agreement is renewable from fiscal year to fiscal year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Losses payable are generally limited to the market value of fish caught before seizure which were spoiled or confiscated, and up to 50 percent of gross income lost as a direct result of such seizures.

**Length and Time Phasing of Assistance:** From effective date of agreement for balance of fiscal year ending on September 30.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-5121-0-3-376.

**Obligations:** (Reimbursement of losses) FY $1,777,000; FY 82 est $2,400,000; and FY 83 est $564,000.

**Range and Average of Financial Assistance:** $1,000 to $109,000; $10,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 251 guarantee agreements were executed and $1,777,000 was disbursed for claims. The same is expected for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR 258, as amended. Application kit furnished by National Marine Fisheries Service (see Appendix IV of the Catalog for list of addresses).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for list of addresses of Financial Services Division.

**Headquarters Office:** Chief, Financial Services Division, National Marine Fisheries Service, 3300 Whitehaven St. N.W., Washington, DC 20235. Telephone: (202) 634-7496. Contact: Michael Grable.

**RELATED PROGRAMS:** 19.200, Claims Against Foreign Governments; 19.201, Protection of Ships From Foreign Seizure.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.411 FISHERY COOPERATIVE SERVICES

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Fishery Cooperative Marketing Act of 1934; Public Law 73-464; 15 U.S.C. Sections 521-522; Reorganization Plan No. 4, 1970.

**OBJECTIVES:** To provide technical advice and assistance in organizing and operating fishery cooperatives.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Services are provided to persons engaged in the fishery industry, such as fishermen catching, collecting, or cultivating aquatic products or planters of aquatic products on public or private bed. These cooperatives must organize under the laws of their respective states and are restricted by Federal statutes concerning monopolistic practices. Although monetary assistance for the formation of a cooperative association cannot be provided by the government, advisory assistance is available regarding various sources of federally sponsored loans to cooperatives.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Groups interested in forming cooperatives may request advice and assistance, as well as copies of publications.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the Fishery Development Division, National Marine Fisheries Services, 3300 Whitehaven St. N.W., Washington, DC 20235, or any regional office listed in Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Operations of fishery cooperatives are reviewed for compliance with the provisions of the Fishery Cooperative Marketing Act of 1934, concerning actions relating to monopoly or trade restraints in interstate or foreign commerce by unduly enhancing aquatic commodity prices.

**Records:** As required by the respective States (Annual financial operating statements and balance sheets).

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Salaries and expenses) FY 81 $25,000; FY 82 est $25,000; and FY 83 est $25,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, information on organizing and operating Fishery Cooperatives, and the 1980-81 directory of Fishery Cooperatives was provided to a number of individuals and industry groups. Also a survey on the structure of Fishery Cooperatives was completed. The same is expected for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Organizing and Operating Fishery Cooperatives in the United States," Circular 155; "List of Fishery Cooperatives in the United States, 1980-1981." Available without cost from Fisheries Development Division, NMFS, 3300 Whitehaven St. N.W., Washington, DC 20235.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for list of regional offices.

**Headquarters Office:** Chief, Fisheries Development Division, National Marine Fisheries Service, 3300 Whitehaven St. N.W., Washington, DC 20235. Telephone: (202) 634-7451.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.413 FISHERY PRODUCTS INSPECTION AND CERTIFICATION

### (Inspection and Grading of Fishery Products)

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Agricultural Marketing Act of 1946; Public Law 79-733; 7 U.S.C. 1624-1627; Fish and Wildlife Act of 1956; Public Law 84-1024; 16 U.S.C. 742(a)-742(j); Reorganization Plan No. 4, 1970.

**OBJECTIVES:** To ensure that the hygienic aspects of fish processing operations meet the minimum public health requirements and to determine and certify the quality, identify quantity, and condition of fishery products.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Inspection and certification of seafood is made at the processing plant. Funds are derived through deposits of the beneficiary of the specialized services rendered.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Optional inspection services can be provided to any individual, Federal, State, county, or municipal agencies, or carrier having a financial interest in the commodity. Inspection services cannot be provided to applicants who have no financial interest in the commodity.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must stipulate that he/she has a financial interest in the product. Applicants for in-plant inspection service must furnish a Surety bond or other guarantee of payment. Applicants for other types of service may be required to furnish a Surety bond or make payment prior to the receipt of services.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant for in-plant inspection services must do so in writing to the nearest regional inspection office. Request for other types of services may be done orally or in writing.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-9973-0-7-306.

**Obligations:** (Trust fund) FY 81 $2,738,349; FY 82 est $2,760,000; and FY 83 est $3,054,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In calendar year 1980, 675,789,600 pounds of fishery products were inspected and certified. Services were provided to 90 fishery product processing plants and 250 lot inspection service users. The same is expected for fiscal year 1981 and 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR Chapter II, Parts 260 to 277; Guide to Federally Inspected Fishery Products, free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for list of regional offices.

**Headquarters Office:** Chief, Seafood Research, Inspection, and Consumer Services Division, National Marine Fisheries Service, Page Bldg. 2, Room 300, Washington, DC 20235. Telephone: (202) 634-7458. Contact: Thomas J. Billy.

**RELATED PROGRAMS:** 10.154, Market Supervision and Assistance; 15.604, Fishery Research—Information; 15.607, Environmental Contaminant Evaluation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.415 FISHING VESSEL OBLIGATION GUARANTEES

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Act of July 5, 1960; Public Law 86-577; Act of June 15, 1968; Public Law 90-341 as amended; 46 U.S.C. 1271-

1279; 16 U.S.C. 742; Office of Management and Budget Reorganization Plan No. 4, 1970; Act of October 19, 1972; Public Law 92-507.

**OBJECTIVES:** To provide government guarantees of private loans to upgrade the U.S. fishing fleet.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** For guarantees of obligations up to 87-1/2 percent of actual vessel costs, for lenders providing funds for construction, reconstruction or reconditioning of fishing vessels. Maximum maturity, 20 years.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must have an obligee approved by the Secretary of Commerce as able to service the obligation properly; and an obligor approved as possessing the ability, experience, financial resources, and other qualifications necessary to the adequate operation and maintenance of the mortgaged property.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Financial statements, records, business history.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit application for fishing vessel obligation guarantee to Chief, Financial Services Division, National Marine Fisheries Service with an application fee of one half of one percent up to $1,000,000, plus one fourth of one percent on amounts in excess of $1,000,000. (See appendix for address).

**Award Procedure:** Notification of applicants.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 days or less.

**Appeals:** To the Administrator, National Oceanic and Atmospheric Administration.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Maximum mortgage term is 20 years. Guarantee must be executed within one year after vessel delivery or redelivery.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** Secretary has the right to inspect all relevant books of account.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-4417-0-3-376.

**Obligations:** (Guaranteed loans) FY 81 $31,347,000; FY 82 est $50,000,000; and FY 83 est $25,000,000.

**Range and Average of Financial Assistance:** $15,000 to $9,000,000; $300,000.

**PROGRAM ACCOMPLISHMENTS:** In calendar year 1981, 83 guarantees were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR 255, as amended. Application kit furnished by National Marine Fisheries Service (see Appendix IV of the Catalog for list of address).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Applicants are encouraged to communicate with Division of Financial Assistance Office in their respective area listed in Appendix IV of the Catalog.

**Headquarters Office:** Chief, Financial Services Division, National Marine Fisheries Service, Department of Commerce, 3300 Whitehaven St. N.W., Washington, DC 20235. Telephone: (202) 634-7496. Contact: Michael Grable.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.417 SEA GRANT SUPPORT

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Sea Grant Program Improvement Act of 1976 (Public Law 94-461, as amended) 33 U.S.C. 1121 et seq., as amended by Public Law 95-428 - Title II National Sea Grant College Program Act.

**OBJECTIVES:** To support establishment of major university centers for marine research, education, training, and advisory services, and also individual efforts in these same areas. Limited funds are available for organized national projects and for international cooperative assistance relative to ocean and coastal resources.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used for research and development, education and training, and advisory services. Coherent area, institutional and Sea Grant College support is provided to some institutions. Grant money cannot be used to purchase, or construct ships or facilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Universities, colleges, junior colleges, technical schools, institutes, laboratories; any public or private corporation, partnership, or other association or entity; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:** Organizations and individuals with professional interest in marine affairs.

**Credentials/Documentation:** Proposals may be signed by principal investigator(s), appropriate department head, and official authorized to commit institution in business affairs. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; FMC 73-8, and "Department of Commerce Principles for Determining Costs Applicable to Grants and Contracts with Nonprofit Institutions".

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal proposals are welcomed. The standard application forms as furnished by NOAA and required by OMB Circular No. A-102 must be used by State agencies for this program.

**Application Procedure:** Made in a formal proposal to headquarters office fully documenting need for grant and proposed amount. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Awards are made competitively on the basis of proposal evaluation. Notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 to 180 days from time of proposal submission.

**Appeals:** None.

**Renewals:** By negotiation with Sea Grant Office.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least one-third of total cost must be obtained from other sources. Projects designed to meet specified national needs, and Sea Grant International Program projects may be supported up to 100 percent.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial Status Reports required semi-annually. Substantive reports will be required annually and at end of support period. Interim reports are expected as important results are obtained.

**Audits:** Accounting records relating to expenditures under each grant are subject to audit during life of grant and for 3 years thereafter. NOAA has audit program which involves sample audits. Complete audits are made on major grants over $100,000.

**Records:** Grantees expected to maintain separate records for each grant to insure funds are used for general purpose for which grant was made. Records subject to inspection during life of grant and 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Grants) FY 81 $40,000,000; FY 82 est $34,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $2,600 to $3,150,000; $645,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 62 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 600-635; Literature: Suggestions for Submission of Proposals and Administration of Grants, National Sea Grant Program (no charge). Federal Register Vol. 43, No. 70 dtd April 1978 and Vol. 43, No. 153 dated August 8, 1978, Part III, Title 15, Chapter IX, Part 917.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, National Sea Grant College Program, National Oceanic and Atmospheric Administration, 6010 Executive Blvd., Rockville, MD 20852. Telephone: (301) 443-8926.

**RELATED PROGRAMS:** 11.405, Anadromous and Great Lakes Fisheries Conservation; 11.407, Commercial Fisheries Research and Development; 11.419, Coastal Zone Management Program Administration; 11.420, Coastal Zone Management Estuarine Sanctuaries; 20.806, State Marine Schools; 20.807, U.S. Merchant Marine Academy; 20.002, Coast Guard Cooperative Marine Sciences Program; 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences.

**EXAMPLES OF FUNDED PROJECTS:** Not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 11.419 COASTAL ZONE MANAGEMENT PROGRAM ADMINISTRATION

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coastal Zone Management Act of 1972, Section 306; Public Law 92-583 (16 U.S.C. 1451 et seq.); Coastal Zone Management Act Amendments of 1976, Section 306; Public Law 94-370 (16 U.S.C. 1451 et seq.); Coastal Zone Management Act Amendments of 1980, Public Law 96-464.

**OBJECTIVES:** To assist States in implementing and administering Coastal Zone Management programs that have been approved by the Secretary of Commerce.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used only to administer the States' approved Coastal Zone Management programs. This includes personnel salaries, travel and other related costs required to support the administration of the program. Grants may also be used to administer the States' approved Coastal Zone Management program for a geographic segment of the coastal zone. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State, including Puerto Rico, Virgin Islands, Guam, American Samoa, and the Northern Marianas, whose Coastal Zone Management program has been approved by the Secretary of Commerce. The Governor shall designate the State agency, or entity that is to be the applicant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Letter from Governor designating the applicant. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard preapplication forms, CD-288, as furnished by NOAA and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. An environmental impact statement is necessary for this program.

**Application Procedure:** The Application for Federal Assistance (Nonconstruction Programs) CD-292, as furnished by NOAA and required by OMB Circular No. A-102, is to be submitted in three copies.

**Award Procedure:** Applications are approved by the Office of Coastal Zone Management. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Preapplications and applications should be submitted 120 and 60 days respectively prior to the beginning date of the grant.

**Range of Approval/Disapproval Time:** 15 to 20 work days.

**Appeals:** No formal procedure. If application is unacceptable the applicant is fully informed and applicant may revise application.

**Renewals:** Continuation grants on an annual basis are available. Individual grants may be extended.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 20 percent of the total project cost must be provided by the applicant. Federal funds from other sources cannot be used to match. Grants must be not less than one percent of the amount appropriated each fiscal year. Within the statutory range grants are allocated by formula. The statistical factors used for fund allocation are: (1) population in coastal counties and the source is the 1980 Decennial Census; and (2) miles of coastal shoreline and the source is "The Coastline of the United States," NOAA. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** Grants are normally made for one year. Grant funds are released by advance Treasury check, reimbursement or Letter of Credit in accordance with the criteria set forth in Attachment J to OMB Circular No. A-102.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial Status Reports, CD-287, and performance reports are required quarterly and final reports are required within 90 days of the grant ending date.

**Audits:** To maximum extent possible, reliance will be upon State and local government auditors and independent public accountants. Audits are to be performed in accordance with guidelines established by Office of Audits, U.S. Department of Commerce. Each grant shall be audited at least every two years and upon completion or termination of the grant.

**Records:** Work papers prepared in connection with audit reports are to be retained for three years after issuance of the report.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1451-0-1-302.

**Obligations:** (Grants) FY 81 $35,788,000; FY 82 est $33,297,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** FY 1981 $250,000 to $5,500,000; FY 82 est $250,000 to $3,000,000; FY 83 $0.

**PROGRAM ACCOMPLISHMENTS:** During FY 81, the state of Florida received program approval which increases to twenty-six the number of states with approved programs. The States of New York and New Hampshire are anticipated for program approval in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants Management Manual for Grants under the Coastal Zone Management Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Coastal Zone Management Programs Office, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven Street, N.W., Washington, DC 20235. Telephone: (202) 634-1672.

**RELATED PROGRAMS:** 11.417, Sea Grant Support; 11.420, Coastal Zone Management Estuarine Sanctuaries.

**EXAMPLES OF FUNDED PROJECTS:** Not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 11.420 COASTAL ZONE MANAGEMENT ESTUARINE SANCTUARIES

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coastal Zone Management Act of 1972, Section 312; Public Law 92-583 (16 U.S.C. 1451 Seq.); Coastal Zone Management Act Amendments of 1976, Section 315 (1); Public Law 94-370 (16 U.S.C. 1451 Seq.); Coastal Zone Management Act Amendments of 1980, Public Law 96-464.

**OBJECTIVES:** To assist States in the acquisition, development and operation of estuarine sanctuaries for the purpose of creating natural field laboratories to gather data and make studies of the natural and human processes occurring within the estuaries of the coastal zone.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used to cover the costs of acquisition, development and operation of estuarine sanctuaries. Development and operation costs may include the administrative expenses necessary to monitor the sanctuary. Research will not normally be funded.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State including Puerto Rico, Virgin Islands, Guam, American Samoa and the Northern Marianas. The Governor shall designate the State agency or entity that is to be the applicant.

**Beneficiary Eligibility:** Same as Applicant Eligibility. Also all qualified scientists and students.

**Credentials/Documentation:** Letter from Governor designating the applicant. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard preapplication form, CD-288, as furnished by NOAA and required by OMB Circular No. A-102 must be used. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The Application for Federal Assistance (For Construction Programs) CD-290, as furnished by NOAA and required by OMB Circular No. A-102 is to be submitted in three copies.

**Award Procedure:** Applications are approved by the Office of Coastal Zone Management. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Preapplications and applications should be submitted 150 and 120 days respectively prior to grant beginning date.

**Range of Approval/Disapproval Time:** 90 days.

**Appeals:** No formal procedure. If application is unacceptable the applicant is fully informed and may revise application.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 50 percent of the total project cost must be provided by the applicant. The Federal share for each sanctuary shall not exceed $2,000,000.

**Length and Time Phasing of Assistance:** Grant funds are released by advance Treasury check, reimbursement or Letter of Credit in accordance with the criteria set forth in Attachment J to OMB Circular No. A-102.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The Outlay Report and Request for Reimbursement for Construction Programs are required monthly. A status report is required no more frequently than annually.

**Audits:** Upon completion of project.

**Records:** Work papers prepared in connection with audit reports are to be retained for three years after issuance of the report.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1451-0-1-302.

**Obligations:** (Grants) FY 81 $2,209,000; FY 82 est $2,000,000; and FY 83 est $1,280,000.

**Range and Average of Financial Assistance:** FY 81 $50,000 to $618,000; FY 82 est $50,000 to $546,000.

**PROGRAM ACCOMPLISHMENTS:** Through fiscal year 1981, estuarine sanctuaries were to have been established in California, Oregon, Georgia, Ohio, Hawaii, Florida, Washington, Rhode Island, Maryland, and Puerto Rico. In fiscal year 1982, it is anticipated that two additional sites will be required.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR Part 921 - Estuarine Sanctuary Grants. Grants Management Manual for Grants under the Coastal Zone Management Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Sanctuary Programs Office, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven Street, N.W., Washington, DC 20235. Telephone: (202) 634-4236.

**RELATED PROGRAMS:** 11.417, Sea Grant Support; 11.419, Coastal Zone Management Program Administration; 12.110, Planning Assistance to States.

**EXAMPLES OF FUNDED PROJECTS:** Not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 11.421 COASTAL ENERGY IMPACT PROGRAM—FORMULA GRANTS

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coastal Zone Management Act Amendments of 1976, Section 308(b), Public Law 94-370 (16 U.S.C. 1451 Seq.); Coastal Zone Management Act Amendments of 1978, Section 308(b), Public Law 95-372; Coastal Zone Management Act Amendments of 1980, Public Law 96-464.

**OBJECTIVES:** To provide financial assistance to coastal States to plan and construct public facilities and services and for the amelioration of environmental and recreational loss attributable to Outer Continental Shelf (OCS) energy development activities.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Formula grants are available only to those States which have or have had adjacent OCS oil and gas leasing and development activities. Proceeds from these grants may be used for a very broad range of projects subject to certain priorities and prerequisites. The priority use of these grant funds is for the repayment of local and State bonds guaranteed under Section 308(d)(2) of the Act. The prerequisites of use relate to planning and development of public facilities and services. A prime use of these funds is for the protection and restoration of environmental and recreational resources. Project costs must be in line with the value of the resources. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State which has a management program that has been approved under Section 306 or is making, in the judgment of the Assistant Administrator, satisfactory progress toward the development of a management program that is consistent with the policies set forth in Section 303. The Governor shall designate the State agency or entity that is to be the applicant.

**Beneficiary Eligibility:** *Local and regional government units may apply for assistance under this program from their designated State Section 308 agency.*

**Credentials/Documentation:** Letter from the Governor designating the applicant. Costs will be determined in accordance with OMB Circualar No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Only construction projects require a preapplication and an environmental impact statement. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The requisition for 308(b) formula grants, NOAA Form 36-20 is to be submitted in three copies.

**Award Procedure:** Requisitions are approved by NOAA. Special note: Intra-State Allocation process (Section 308(g)(2)): each coastal State, after being notified of its allotment, must establish a process to allocate its allotment among State agencies and units of local government based upon the need for assistance. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Requisitions should be submitted 60 days prior to proposed work start date.

**Range of Approval/Disapproval Time:** From 20 to 30 workdays.

**Appeals:** No formal procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 100 percent Federal funding. Grants are allotted to a State by means of a prescribed formula based on the State's proportional share of nation-wide OCS activities of the preceding fiscal year measured by the following weighted indices: (1) OCS acreage initially leased, 50.0 percent; (2) OCS oil and natural gas landed, 25.0 percent; (3) OCS oil and natural gas produced, 25.0 percent. Eligible States receive a minimum of 2 percent and a maximum of 37.5 percent of the appropriation. The statistical factors used for fund allocation are: (1) amount of acres leased in the Federal Outer Continental Shelf and the source is Outer Continental Shelf Statistics, USGS; (2) amount of petroleum produced off the coast of a State in the O.C.S. and the source is Outer Continental Shelf Statistics - Sales or Lease Production, USGS; and (3) amount of petroleum first landed on the shore and the source is Outer Continental Shelf Statistics - Sales or Lease Production, USGS. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** Each State is allotted a specific amount of each year's appropriation by means of a formula. The proceeds of grants which are requisitioned by and disbursed to a State in any fiscal year but which are not expended or committed by the State by the end of the fiscal year in which the grant proceeds were awarded are subject to recovery and subsequent re-allotment. Grant proceeds not requisitioned remain available for award until the end of fiscal year 1988, at which time proceeds not awarded will be returned to the United States Treasury.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial Status Reports, SF 269, and performance reports are required every 6 months (October-March, April-September) and final reports within 90 days of the grant ending date.

**Audits:** The Assistant Administrator, the Secretary of Commerce, and the Comptroller General shall have access for purposes of audit and examination to any records, books, documents, and papers which belong to, or are used or controlled by, any recipient of the assistance or any person who entered into any transaction relating to such financial assistance, which is used in accordance with Section 308.

**Records:** All financial records and working papers must be retained for 3 years after the completion of the project or program for which a grant was made.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1451-0-1-302.

**Obligations:** (Grants) FY 81 $28,150,000; FY 82 est $6,200,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Dependent upon State's allotment. In FY 81, allotments ranged from $143,400 to $2,689,500.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 81 additional projects were added bringing the total amount to $83,598,000 for 21 States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR Part 931, OMB Circular Nos. A-87 and A-102.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Coastal Energy Impact Program Office, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven St., N.W., Washington, DC 20235. Telephone: (202) 254-8000.

**RELATED PROGRAMS:** 11.419, Coastal Zone Management Program Administration; 11.422, Coastal Energy Impact Program—Planning Grants; 11.423, Coastal Energy Impact Program—Loans and Guarantees; 11.424, Coastal Energy Impact Program—Environmental Grants.

**EXAMPLES OF FUNDED PROJECTS:** A $307,000 grant awarded to the Alaska Department of Fish and Game, the Division of Parks, and the City of Steward was used to perform studies assessing the potential onshore impacts of Outer Continental Shelf (OCS) oil and gas development and to prepare plans for the prevention of damage to enviromnental and recreational resources arising from this development. LaFourche Parish, Louisiana, received a grant of $80,000 for the purchase of oil firefighting equipment.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.422 COASTAL ENERGY IMPACT PROGRAM—PLANNING GRANTS

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coastal Zone Management Act Amendments of 1976, Section 308(c) (1), Public Law 94-370 (16 U.S.C. 1451 et seq.).

**OBJECTIVES:** To assist the States and units of local government to study and plan for the social, economic and environmental consequences on the coastal zone of new or expanded energy facilities; to encourage rational and timely planning and management of energy facility siting and energy resource development.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Eligible uses include: Planning projects for housing and land use planning, public safety, and public facility plans, provided they are related to the social, economic and environmental impacts resulting from new or expanded energy activity; development and implementation of an Intra-State Allocation Process; and direct administrative costs for State lead agencies administering all 308 financial assistance programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State or territory which has a management program that has been approved under Section 306 or is making in the judgment of the Associate Administrator, satisfactory progress toward the development of a management program that is consistent with the policies set forth in Section 303.

**Beneficiary Eligibility:** Only units of general purpose local governments in the coastal zone, as defined in 15 CFR 931.22, and State agencies are eligible for CEIF assistance. The State Section 308 agency is the applicant for the grants; it may then pass through awarded assistance to local governments in accordance with the State's Intra-State Allocation Process.

**Credentials/Documentation:** Letter from the Governor designating the applicant. Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). No preapplication necessary. An environmental impact assessment is required for this program.

**Application Procedure:** The application for 308(c) (1) planning grants, NOAA Form 36-21 is to be submitted in three copies. In each State the Governor designates a 308 lead agency. The lead agency submits applications for financial assistance to NOAA. Projects and proposals for funding from units of local government and State agencies must be submitted to the 308 lead agency. Local governments applying to the State for assistance under the CEIP should contact the 308 lead agency for A-95 procedures as provided for in 15 CFR 931.37(b).

**Award Procedure:** Applications are approved by NOAA. Special Note: Intra-State Allocation Process (Section 308(g)(2) - each coastal State, after being notified of its allotment, must establish a process to allocate its allotment among State agencies and units of local government based upon the need for assistance. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 60 days prior to the proposed work start date.

**Range of Approval/Disapproval Time:** From 20 to 30 workdays.

**Appeals:** No formal procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal share of grants for 308(c) (1) are not to exceed 80 percent of the total project costs. Local or State funds may be used to meet the non-Federal share of project costs, or in-kind contributions may be used, as described in OMB Circular No. A-102. The statistical factors used for fund allocation are: (1) peak construction employment and the source is Office of CZM; (2) environmental factor and the source is Office of CZM; (3) safety factor and the source is Office of CZM; and (4) planning cost differentials and the source is American Planning Association Annual Report. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** Grants are normally made once a year. The allotment of financial assistance among the States is based on formulas related to new or expanded energy facilities affecting the coastal zone.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial status reports are required every month, and a final report within 90 days of the grant ending date.

**Audits:** The Assistant Administrator, the Secretary of Commerce, and the Comptroller General shall have access for the purpose of audit and examination to any records, books, documents and papers which belong to, or are used or controlled by, any recipient of the assistance or any person who entered into any transaction relating to such financial assistance under Section 308.

**Records:** All financial records and working papers must be retained for 3 years after the completion of the project or program for which a grant was made.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-4315-0-3-452.

**Obligations:** (Grants) FY 81 $3,718,000; FY 82 est $1,034,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Dependent upon State's allotment. In 1980 and FY 81, allotments ranged from $75,000 to $192,000.

**PROGRAM ACCOMPLISHMENTS:** Through fiscal year 1981, 166 projects were approved by NOAA, resulting in obligations of $12,577,000 to 33 States and territories.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR Part 931, OMB Circular Nos. A-87 and A-102.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Coastal Energy Impact Program Office, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven St., N.W., Washington, DC 20235. Telephone: (202) 254-8000.

**RELATED PROGRAMS:** 11.421, Coastal Energy Impact Program—Formula Grants; 11.424, Coastal Energy Impact Program—Environmental Grants.

**EXAMPLES OF FUNDED PROJECTS:** Ventura County, California, was provided with $60,000 to plan for social, physical, and environmental impacts of OCS and other coastal energy activity on its public facilities and services. A $12,000 grant was made to the Town of Seabrook, New Hampsire to study the effect of the Seabrook nuclear electric power generation plant on the municipal water supply.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 11.423 COASTAL ENERGY IMPACT PROGRAM—LOANS AND GUARANTEES

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coastal Zone Management Act Amendments of 1976, Section 308(d)(1) Loans and 308(d)(2) Bond Guarantees; 16 U.S.C. 1451 et seq; Public Law 94-370.

**OBJECTIVES:** To provide financial assistance for public facilities necessary to support increased populations stemming from new or expanded coastal energy activity.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** The public facilities eligible include but are not limited to highways and secondary roads, parking, mass transit, docks, navigation aids, fire and police protection, water supply, waste collection and treatment (including drainage), schools and education, and hospitals and health care.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State which has a management program which has been approved under Section 306; or is making in the judgment of the Assistant Administrator, satisfactory progress toward the development of a management program which is consistent with the policies set forth in Section 303.

**Beneficiary Eligibility:** Only units of general purpose local government in the coastal zone, as defined in 15 CFR 931.22, and State agencies are eligible for CEIP financial assistance.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For construction project, the borrower must provide a Preliminary Engineering Report which contains a preliminary analysis of the engineering aspects of the proposed facility costs and financial feasibility of the project. Cost for the Preliminary Engineering Report may also be included in 308(b) applications. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact assessment should be submitted with the initial construction project application to determine whether an environmental impact statement is required.

**Application Procedure:** Applications for Section 308(d)(1) and (2) NOAA Form 36-23 are to be submitted in three copies. In each

State the Governor designates a 308 lead agency. The lead agency submits applications for financial assistance to NOAA. Projects and proposals for funding from units of local governments and State agencies must be submitted to the 308 lead agency. Local governments applying for credit assistance should contact the lead agency for A-95 procedures as provided for in 15 CFR 931.37 (b).

**Award Procedure:** Applications are approved by NOAA. Special note: Intra-State Allocation Process (Section 308(g)(2) - each coastal State, after being notified of its allotment, must establish a process to allocate its allotment among State agencies and units of local government based upon the need and level of anticipated impact (see 15 CFR Subpart J). Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 60 days prior to the proposed work start date.

**Range of Approval/Disapproval Time:** From 20 to 30 workdays.

**Appeals:** No formal procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Up to 100 percent Federal funding allotments are made. The statistical factors used for fund allocation are: (1) peak construction employment and the source is the office of CZM; (2) new employment and related new population and the source is the office of CZM; and (3) CPI annual update for standard construction and the source is the BLS. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** After being notified of its allotment, a coastal State may submit application for loans and guarantees from this allotment.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly construction and financial status reports are required for all construction projects.

**Audits:** The Assistant Administrator, the Secretary of Commerce, and the Comptroller General shall have access for purposes of audit and examination to any records, books and documents, and papers which belong to, or are used or controlled by any recipient of the assistance or any person who entered into any transaction relating to such financial assistance under Section 308.

**Records:** Recipients of loans and guarantees should retain financial records until complete repayment of the loan or guarantee for a period of at least 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-4315-0-3-452.

**Obligations:** (Loans) FY 81 $6,837,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Dependent upon State's allotment. In 1978, allotments ranged from $200,000 to $38,000,000.

**PROGRAM ACCOMPLISHMENTS:** Through June of fiscal year 1981, thirty three loans totaling $127,949,000 were awarded to 8 States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR Part 931, OMB Circular Nos. A-87 and A-102.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Coastal Energy Impact Program Office, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven St., N.W., Washington, DC 20235. Telephone: (202) 254-8000.

**RELATED PROGRAMS:** 11.421, Coastal Energy Impact Program—Formula Grants; 11.424, Coastal Energy Impact Program—Environmental Grants.

**EXAMPLES OF FUNDED PROJECTS:** A $10,636,000 loan was awarded to construct a 168 bed hospital and provide needed emergency treatment services to oil crew workers in Morgan City, Louisiana. The Park Central Municipal Utility District in the City of Port Arthur, Texas, received a $13,482,000 loan to finance the construction of sewer, water and drainage facilities needed as a result of OCS energy activity. A $5,078,000 loan was made to Jackson County, Mississippi, to expand the County water system.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.424 COASTAL ENERGY IMPACT PROGRAM—ENVIRONMENTAL GRANTS

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Coastal Zone Management Act Amendments of 1976, Section 308(d)(4), Public Law 94-370 (16 U.S.C. 1451, SEQ.).

**OBJECTIVES:** To help States and units of local governments prevent, reduce, or ameliorate unavoidable loss of valuable environmental or recreational resources resulting from coastal energy activity, while ensuring that the person responsible for these environmental or recreational losses pays for their full cost.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Assistance may be used to design and implement projects to prevent and reduce or ameliorate environmental and recreational losses in the coastal zone resulting from the siting, construction, expansion, or operation of any equipment or facility required by coastal energy activity. Assistance under this Section may also be used for: administrative costs; restoration, replacement, or acquisition of environmental or recreational resources; and, the cost differential between the least cost method of providing a public facility required as a result of coastal energy activity and a higher cost method that reduces the environmental loss of the least cost method. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State which has a management program that has been approved under Section 306 or is making, in the judgment of the Assistant Administrator, satisfactory progress toward the development of a management program that is consistent with the policies set forth in Section 303. Funding priority is to States not receiving Section 308(b) formula grants.

**Beneficiary Eligibility:** Only the designated State lead agency may apply for and receive grants. The grants may then be passed through to units of general purpose local governments.

**Credentials/Documentation:** Letter from the Governor designating the applicant. Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Construction projects under Section 308(d)(4) require a preapplication and basic environmental impact assessment information to determine if an environmental statement is required. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The application for 308(d)(4) Non-Construction Projects, NOAA Form 36-22 or Construction Projects, NOAA Form 36-23, is to be submitted in three copies. In each State the Governor designates a 308 lead agency. The lead agency submits applications for financial assistance to NOAA. Projects and proposals for funding from units of local government and State agencies must be submitted to the 308 lead agency for A-95 procedures as provided for in 15 CFR 931.37(b).

**Award Procedure:** Applications are approved by NOAA. Special Note: Intra-State Allocation Process (Section 308(g)(2) - each coastal State, after being notified of its allotment, must establish a process to allocate its allotment among State agencies and units of local government based upon the need for assistance. See 15 CFR Subpart J. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 60 days prior to the proposed work start date.

**Range of Approval/Disapproval Time:** From 20 to 30 workdays.

**Appeals:** No formal procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 100 percent Federal funding. The statistical factors used for fund allocation are: (1) new employment and related new population and the source is the Office of CZM; (2) standardized unit cost of providing public facilities and public services and the source is the Office of CZM; and (3) C.P.I. annual update for standard construction and the source is the BLS. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:** Grants are normally allotted once a year. The allotment of financial assistance is based on formulas relating to coastal energy activities.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly construction and financial status reports are required for all construction projects. For non-construction projects, quarterly financial status reports are required.

**Audits:** The Assistant Administrator, the Secretary of Commerce, and the Comptroller General shall have access for purposes of audit and examination to any records, books, documents and papers which belong to, or are used or controlled by any recipient of the assistance or any person who entered into any transaction relating to such financial assistance under Section 308.

**Records:** All financial records and working papers must be retained for 3 years after the completion of the project or program for which the grant was made.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-4315-0-3-452.

**Obligations:** (Grants) FY 81 $628,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Dependent upon the State's allotment In 1980, allotments ranged from $81,000 to $406,000.

**PROGRAM ACCOMPLISHMENTS:** In FY 81, NOAA approved five projects totaling $433,400 to five States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR Part 931, OMB Circular Nos. A-87 and A-102.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Coastal Energy Impact Program Office, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven St., N.W., Washington, DC 20235. Telephone: (202) 254-8000.

**RELATED PROGRAMS:** 11.421, Coastal Energy Impact Program—Formula Grants; 11.422, Coastal Energy Impact Program—Planning Grants; 11.423, Coastal Energy Impact Program—Loans and Guarantees.

**EXAMPLES OF FUNDED PROJECTS:** The State of Rhode Island received a $51,000 grant to study methods of oil spill protection and for the purchase of oil spill equipment. A grant of $61,000 was made to the City of Bayou LaBatre, Louisiana, for the purchase of park land.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 11.425 COASTAL ENERGY IMPACT PROGRAM—OUTER CONTINENTAL SHELF STATE PARTICIPATION GRANTS

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Outer Continental Shelf Lands Act Amendments of 1978, Section 503, Public Law 95-372, established Section 308 (c) (2) in the Coastal Zone Management Act of 1972 as amended, Public Law 94-370 (16, U.S.C. 1451, Seq.).

**OBJECTIVES:** To allow States and units of general purpose local governments to participate effectively in policy, planning and managerial decisions relating to management of Outer Continental Shelf oil and gas resources.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Assistance may be used by coastal States to carry out their administrative responsibilities under OCS Lands Act. This includes participation in formulation of the OCS leasing program; reviewing and commenting on draft environmental impact statements on OCS activities; commenting and making recommendations concerning development and production plans; and, analyzing data transmitted to the State pursuant to the OCS oil gas information program. Section 308(c)(2) grants are not to be used to cover any of the planning, public facility, public service, or environmental costs contained in other provisions of the Coastal Energy Impact Program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any coastal State that has a management program which has been approved under Section 306; or is receiving a grant under Sections 305(c) or (d); or is making, in the judgment of the Assistant Administrator, satisfactory progress toward the development of a management program which is consistent with the policies set forth in Section 303. In addition, to be eligible for the grants under Section 308 (c)(2), the coastal State must be "likely to be affected" by OCS energy activity.

**Beneficiary Eligibility:** Only the designated State lead agency may apply for and receive grants. The grants may then be passed through to units of general purpose local governments.

**Credentials/Documentation:** Letter from the Governor designating the applicant. Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The CEIP Section 308 Application for Non-Construction Programs, NOAA Form 36-25, is to be submitted with three copies. In each State, the Governor designates a 308(c)(2) lead agency. The lead agency submits applications for financial assistance to NOAA. Projects and proposals for funding from units of local governments, and State agencies must be submitted to the State 308(c)(2) lead agency for A-95 review.

**Award Procedure:** Applications are approved by NOAA. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 60 days prior to the proposed work start date.

**Range of Approval/Disapproval Time:** From 20 to 30 workdays.

**Appeals:** No formal procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 70 percent Federal funding to be matched by 30 percent cash or in-kind or services from State agencies or units of general purpose local governments.

**Length and Time Phasing of Assistance:** Grants are normally allotted once a year. The allotment of financial assistance is based on formulas relating to Outer Continental Shelf (OCS) leasing activities and coastaal geography.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial status reports are required.

**Audits:** The Assistant Administrator, the Secretary of Commerce, and the Comptroller General shall have access for purposes of audit and examination to any records, books, documents and papers which belong to, or are used or controlled by any recipient of the assistance or any person who entered into any transaction relating to such financial assistance under Section 308.

**Records:** All financial records and working papers must be retained for 3 years after the completion of the project or program for which the grant was made.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-4315-0-3-452.

**Obligations:** (Grants) FY 81 $2,894,000; FY 82 est $636,248; and FY 83 est $0.

**Range and Average of Financial Assistance:** $75,000 to $317,000; $136,500.

**PROGRAM ACCOMPLISHMENTS:** In FY 81, NOAA approved an additional 10 projects totaling $2,800,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR 931.140.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Coastal Energy Impact Program, Office of Coastal Zone Management, National Oceanic and Atmospheric Administration, Department of Commerce, 3300 Whitehaven Street, NW, Washington, DC 20235. Telephone: (202) 254-8000.

**RELATED PROGRAMS:** 11.419, Coastal Zone Management Program Administration; 11.421, Coastal Energy Impact Program—Formula Grants; 11.422, Coastal Energy Impact Program—Planning Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.426 FINANCIAL ASSISTANCE FOR MARINE POLLUTION RESEARCH

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Marine Protection Research and Sanctuaries Act of 1972, Title II, Section 201 and 202, Public Law 92-532. National Ocean Pollution Research and Development Monitoring Planning Act of 1978, Section 6, Public Law 95-273.

**OBJECTIVES:** Determine the ecological consequences of anthropogenic activities which pollute the marine environment. Assess the consequences of marine-polluting activities in terms of ecological, economic, and social impacts. Define management alternatives which will foster favorable or minimize adverse consequences of anthropogenic use of the marine environment.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** None.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Universities, colleges, technical schools, institutes, laboratories, Federal State or local government agencies, public or private, profit or nonprofit entities or individuals.

**Beneficiary Eligibility:** Organizations and individuals with professional interest in marine affairs.

**Credentials/Documentation:** Proposals should be signed by principal investigators, appropriate department head, and official authorized to commit institution in business affairs. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-22 for nonprofit organizations; and CFR 1-15.2 for commercial organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** This program is subject to the provisions of OMB Circlar No. A-110. Proposals are submitted in response to annual announcements and should be sent to: NOAA, Office of Marine Pollution Assessment, MPF-28, 7600 Sand Point Way NE, BIN C15700, Seattle, WA 98115.

**Award Procedure:** Awards are made competitively on the basis of proposal evaluation. Notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** No specific deadlines for proposal submission. Proposals will be reviewed several times a year.

**Range of Approval/Disapproval Time:** Ninety to one hundred twenty days.

**Appeals:** None.

**Renewals:** By application to the Office of Marine Pollution Assessment.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None. Fees or profits will not be paid.

**Length and Time Phasing of Assistance:** Support for projects may be provided for periods up to three years in annual increments.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semi-annual and final performance reports; quarterly and final fiscal reports.

**Audits:** Accounting records relating to expenditures under each grant are subject to audit during life of grant and for three years thereafter.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to an agreement shall be retained for a period of three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Grants) FY 81 $3,854,100; FY 82 est $3,608,000; and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** $15,000 to $180,000; $75,000.

**PROGRAM ACCOMPLISHMENTS:** Fifty-nine grants were made in fiscal year 1980. Fifty-one grants were made in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grant application kit provides guidelines and literature. Inquiries and requests for applications should be addressed to NOAA, Office of Marine Pollution Assessment, MPF28, BIN C15700, 7600 Sand Point Way NE, Seattle, WA 98115: (206) 525-0651.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** NOAA, Office of Marine Pollution Assessment, MPF28, 7600 Sand Point Way, NE, BIN C15700, Seattle, WA 98115: (206) 525-0651.

**RELATED PROGRAMS:** 11.417, Sea Grant Support.

**EXAMPLES OF FUNDED PROJECTS:** Studies of the consequences of waste disposal at 106-Mile Chemical Waste Disposal Site and Puerto Rico dumpsite; Studies of effects and impacts of dredged material disposal in the Mississippi River Delta, Chesapeake Bay, and New York Bight; Marine chemistry of toxic transition metals and their food chain transfer dynamics from phytoplankton to fish larvae; Problems resulting from coastal land use practices, particularly the effects on marine ecosystems of upstream pollutant sources, estuarine loadings, coastal pollutant fluxes, and multiple facilities impacts; Effects of pollution on human health and on living marine resources, particularly effects on microorganisms and synthetic organic substances; Problems related to muncipal sewage outfalls, including pollutant pathways and alterations, and the development of monitoring strategies.

**CRITERIA FOR SELECTING PROPOSALS:** Initial screening will be based principally on the degree to which proposed research relates to priority programmatic objectives. Further review of proposals ranked most applicable to programmatic objectives will be based primarily on scientific quality of the proposed methods and techniques to be utilized in accomplishing the work. Final funding decisions will be constrained by the actual amount of funding available and will be based on selection principles utilizing the factors of relevance to the program objectives, quality of science, and applicability of the results.

## 11.427 FISHERIES DEVELOPMENT AND UTILIZATION RESEARCH AND DEVELOPMENT GRANTS AND COOPERATIVE AGREEMENTS PROGRAM

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** American Fisheries Promotion Act of 1980.

**OBJECTIVES:** To foster the development and strengthening of the fishing industry of the United States and increase the supply of wholesome, nutritious fish and fish products available to consumers.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Special emphasis is given to funding projects which are comprehensive in scope. Applicants should demonstrate an awareness of the value of fish resources to the entire region over which the resource extends as well as the need to remove all significant impediments to development of a fishery. Impediments addressed in the project should be supported by industry experience.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person or group including Federal, State and local governments.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit Standard Form 424 and project description following the format specified by the funding office.

**Award Procedure:** Proposals are reviewed after the submission deadline in competition with all other proposals submitted. To the extent that funds are available, those proposals judged to best meet the the needs are funded. Either grants or cooperative agreements will be awarded for a period of 1 year.

**Deadlines:** Published at the beginning of each fiscal year in the Federal Register.

**Range of Approval/Disapproval Time:** 2 to 4 months.

**Appeals:** None.

**Renewals:** Renewals may be made for up to 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching by the applicant must be 20 percent but may not exceed 50 percent of the total costs of the project. The actual matching requirement will be determined by the funding office based on the relative risks and benefits of the project.

**Length and Time Phasing of Assistance:** Up to three years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly progress reports shall be due within 30 days after the end of the quarter. A final report shall be submitted within 90 days after the end of the project.

**Audits:** Accounting records relating to expenditures under each grant are subject to audit during life of grant and for three years thereafter.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to an agreement shall be retained for a period of three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-5139-0-2-376.

**Obligations:** (Grants) FY 81 $6,838,000; FY 82 est $8,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $5,000 to $2,500,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** New program, first awards in May, 1980. In FY 81, 87 projects were awarded; In FY 82 will be selected during the fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Detailed guidelines and note of exemptions (if any) published with Request for Proposals.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See listing in Appendix IV of the Catalog.

**Headquarters Office:** Office of Utilization and Development, National Marine Fisheries Service, National Oceanic and Atmospheric Administration, Department of Commerce, Washington, DC, 20235; Contact: Preston Smith, Telephone: (202) 634-7252.

**RELATED PROGRAMS:** 11.407, Commercial Fisheries Research and Development.

**EXAMPLES OF FUNDED PROJECTS:** Grants and Cooperative Agreements to develop Alaska bottomfish resources, to study shellfish toxin rise, processing of solid crab waste, marketing of underutilized species, etc.

**CRITERIA FOR SELECTING PROPOSALS:** (a) Significance of the impediment addressed in the proposal (20 points); (b) Adequacy of research/development/demonstration for resolving an impediment and possibilities of securing productive results (15 points); (c) Soundness of design/technical approach for resolving an impediment (15 points); (d) Organization and management of the project, including qualifications and previous related experience of the management team and the personnel involved (20 points); (e) Effectiveness of proposed methods for monitoring and evaluating the success or failure of the project (10 points); (f) Appropriateness of the budget in terms of the work to be performed (10 points).

## 11.428 INTERGOVERNMENTAL CLIMATE—DEMONSTRATION PROJECT

**FEDERAL AGENCY:** NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** National Climate Program Act, Section 6, Public Law 95-367.

**OBJECTIVES:** To conduct climate-related studies, to provide information to users regarding climate and climatic effects, and to provide advice to regional, State and local government agencies on climate related issues.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Development of local climate programs to provide service to users and advice to governments.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments and agencies, public and private profit and nonprofit institutions or organizations, individuals.

**Beneficiary Eligibility:** Local users of climate information.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Response to "Request for Proposals" as announced in Federal Register and Commerce Business Daily. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Awards competitive, proposals evaluated by a grant evaluation board, awards made by source selection official. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As stated in Request for Proposals.

**Range of Approval/Disapproval Time:** 45 days from application deadline.

**Appeals:** None.

**Renewals:** Available, subject to project performance and funding availability.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** 1 year.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Quarterly progress and expenditure reports and final report.

**Audits:** None.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 13-1450-0-1-306.

**Obligations:** (Grants) FY 81 $200,000; FY 82 $200,000; and FY 83 est $200,000.

**Range and Average of Financial Assistance:** $10,000 to $50,000; average $25,000.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1981, eight grants were awarded. In FY 1982 eight Grants are estimated to be awarded and seven in FY 1983.

REGULATIONS, GUIDELINES, AND LITERATURE: None.

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Climate Program Office, National Oceanic and Atmospheric Administration, Department of Commerce, 6010 Executive Boulevard, Rockville, MD 20852. Telephone: (301) 443-8981, FTS 443-8981.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: (1) Public Utility participation in the Intergovernmental Climate Program; (2) Dissemination of Climatological Information via Television; (3) Design and Evaluation of the Feasibility and benefits of a regional Intergovernmental Climate Program; (4) Climate information and the land-use planner; (5) Specialized Climate Data for building energy analysis.

CRITERIA FOR SELECTING PROPOSALS: Relevance to program objectives, potential for information generation, and cost effectiveness.

## 11.550 PUBLIC TELECOMMUNICATIONS FACILITIES

## (PTFP)

**FEDERAL AGENCY:** NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Communications Act of 1934, Part IV ot Title III; Public Law 87-447 enacted May 1, 1962, as amended by Public Law 90-129 (Public broadcasting Act of 1967); Public Law 91-97 (Educational Television and Radio Amendments of 1969); Public Law 92-411; Public Law 93-64; and Educational Broadcasting Facilities and Telecommunications Demonstration Act of 1976; Public Law 94-309; 47 U.S.C. 390-395; 397-399; Public Telecommunications Financing Act of 1978, Title I, Public Law 95-567; Public Broadcasting Amendments Act of 1981, Public Law 97-35.

**OBJECTIVES:** To assist, through matching grants, in the planning and construction of public telecommunications facilities in order to; a) extend delivery of public telecommunications services to as many citizens of the U.S. and territories as possible by the most efficient and economical means, including the use of broadcast and nonbroadcast technologies; b) increase public telecommunications services and facilities available to, operated by, and owned by minorities and women; c) strengthen the capability of existing public television and radio stations to provide public telecommunications services to the public.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Provides for equitable geographic distribution of grants for the planning and construction of public telecommunications facilities. Matching grants are given for apparatus necessary for production, dissemination, interconnection, and reception of noncommerical educational and cultural radio and television programs, and related noncommercial instructional or informational material. Costs associated with filing for Federal assistance, installation costs, and other preoperational costs are eligible to include in requests for matching funds. Buildings and renovations of buildings, land, operational expenses, and indirect costs are not supportable.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** a) A public broadcast station; b) a noncommerical telecommunications entity; c) a system of public telecommunications entities; d) a nonprofit foundation, corporation, institution, or association organized primarily for education or cultural purposes; e) a State or local governmental agency (or any agency thereof), or a political or special purpose subdivision of a State.

**Beneficiary Eligibility:** General public, Public Law 97-35 requires that "special consideration" be given to applications which would increase minority and women's ownership of, operation of and participation in public telecommunications entities.

**Credentials/Documentation:** New applicants must supply proof of eligibility. Applicants must supply copies of their Federal Communications Commission (FCC) application if FCC authorization is required for any aspect of the proposed project. Applicants must give assurances required under Program Rules and Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and A-122 for nonprofit institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. Program staff members are available to provide technical and other assistance in preparing application forms. Applicants must coordinate their project plans with the State Clearinghouse Agency, in accordance with OMB Circular No. A-95, with State educational television, radio or telecommunications agency and must file an application with the FCC if an ICC authorization is required for the proposed project. Applicants must show evidence of participation in comprehensive planning in the area to be served including an evaluation of alternate technologies. If an environmental impact statement is required by any Federal, State, or local agency, a copy must be submitted by the applicant.

**Application Procedure:** Applications are reviewed, and those found to be complete and in accordance with program regulations are accepted for filing. The Administrator, NTIA, publishes notice in the Federal Register of the acceptance for filing of each application, to be followed by a thirty-day public comment period. This program is subject to the provisions of OMB Circular No. A-110 and A-102.

**Award Procedure:** Applications are reviewed and rated on the basis of funding, criteria for construction, and planning applications set forth in the regulations. The Administrator, NTIA, may select an application for funding in whole or in part, and must notify the applicant, the State Agency, the FCC, and the Corporation for Public Broadcasting. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082, and State Clearinghouses in accordance with OMB Circular No. A-95.

**Deadlines:** Applications may be submitted at any time. The Administrator, NTIA, shall select and publish in the Federal Register the date by which new applications and amendments to pending applications to be considered for funding in the current fiscal year must be filed.

**Range of Approval/Disapproval Time:** Applications accepted for filing remain eligible for funding consideration until withdrawn or returned.

**Appeals:** A petition or reconsideration of any determinations made by the Administrator is allowable under Section Subpart G of PTFP's Rules and Regulations.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Administrator, NTIA, may provide up to 100 percent of the funds necessary for the planning of a public telecommunications facility. The maximum amount of Federal grant for construction of a public telecommunication facility is 75 percent of the total eligible project costs. Not less than 75 percent of funds appropriated in a given year shall be available to extend delivery of public telecommunications services to new areas. The Administrator will provide for an equitable distribution of funds among the States and territories.

**Length and Time Phasing of Assistance:** Projects must be completed within a reasonable period of time; prompt completion is expected. Grantee may request payment for up to 90 percent of the grant entitlement at such time as can be certified that funds are needed to pay project liabilities. Final payment may be requested upon completion of the project.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The Federal Government maintains a 10-year interest in the use of the facilities. An annual report must be submitted before April 1st of each year during such period.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and efectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Recipients of construction grants shall keep a complete and itemized inventory of all public telecommunications facilities under their control. All grantees shall keep complete, current and accessible financial records on all funds associated with the total project.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0551-0-1-503.

**Obligations:** (Grants) FY 81 $0; FY 82 est $37,885,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $3,000 to $800,000.

**PROGRAM ACCOMPLISHMENTS:** Since 1962, the facilities program has helped to activate 306 public broadcast stations and has made 923 grants to expand or upgrade public television or radio stations already on the air. Public Law 95-567 transferred the program from DHEW to DOC and expanded the eligibility parameters to include planning grants and nonbroadcast projects. To date, NTIA has funded 123 planning projects and 48 nonbroadcast projects, such as cable and Instructional Television Fixed Service. For fiscal year 1981, 560 applications were received requesting about $105 millicn in funds. A total of 161 projects was funded -- 116 awards made to public television or radio stations to extend or upgrade their services 24 grants were made to begin planning activities for extending delivery of public telecommunications services to presently unserved areas and, 21 grants were made to extend delivery services via non-broadcast means such as cable to ITFS.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 15 CFR Part 2301 written request to the program director will obtain application forms containing regulations, authorizing legislation, and other pertinent materials.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Stuart Hallock, Acting Director, Public Telecommunications Facilities Division/NTIA, Rm 4078 Department of Commerce, 14th and Constitution Avenue, N.W. Washington, DC 20230; Telephone: (202) 377-5802. State Contacts: Joann Anderson - AZ, CA, CT, DC, DE, HI, MA, MD, ME, NH, NJ, NV, PA, RI, VA, VT, WV, American Somoa, Guam, and the Trust Territories; Mary Dionota - AK, CO, ID, MT, OR, UT,W, WY, ND, SD: Charles Estep - AR, AL, FL, GA, IA, LA, KS, MO, MS, NE, NM, NC, NY, OK, SC, TX: Adolph Koenig - IL, IN, KY, MI, MN, OH, TN, WI, PR, VI.

**RELATED PROGRAMS:** 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 84.026, Handicapped Media Services and Captioned Films; 84.065, Educational Television and Radio Programming.

**EXAMPLES OF FUNDED PROJECTS:** Establishment of a noncommercial, educational television station in Hays, Kansas to provide first television services to a large rural area in Western Kansas. Construction of television translators at several locations throughout Colorado to extend the public television signal of KIMA-TV, Denver, to rural areas of the State. Activation of the first bilingual public radio station in the San Joaquin Valley in California to provide specialized educational and cultural programs. A planning project to obtain the necessary technical, planning and development expertise to plan for the expansion of noncommerical radio station WPSS-FM, Fayetteville, North Carolina. A construction grant for establishing a cable system to deliver fist telecommunications services to the Eastern Band Cherokee Indians. A planning project for the Statewide interconnect of New Jersey's 48 cable systems.

**CRITERIA FOR SELECTING PROPOSALS:** Public Telecommunications facilities Program Regulations: Funding Criteria for Construction Applications. In order to achieve the objective of Section 393 of the Act, the Administrator, in determining whether to approve a construction grant application in whole or in part and the amount of such grant, or whether to defer action on such an application, will consider, in addition to how well the applicant has satisfied the assurances of Section 392(a) of the Act, the following factors (the order of listing implies no priorities): (a) The priorities set forth in the Act and Section 2301.20 of the Rules; (b) The adequacy and continuity of financial resources for long-term operational support, which assures the applicant's continual service to the communities within the service area; and the availability of necessary funds for capital expenditures; (c) the extent to which non-Federal funds will be used to meet the total cost of the project; (d) The extent to which the applicant has: (1) evaluated alternate technologies, the base upon which decisions were made as to the technology to be utilized and the extent to which the proposed service will not duplicate service already available; (2) assessed plans to meet the specific educational, informational and cultural needs of the total community to be served by the proposed telecommunications service; (3) designed the proposed service to help meet assessed needs; (4) provided for the total community served to participate in the planning for and implementation of the proposed service; (5) provided opportunities for the intended audiences to use the proposed service; and (6) provided meaningful documentation of community support for the service to be provided (such as letters from agencies for whom the applicant produces or will produce programs or other materials and from key elected/appointed policy-making officials; (e) The extent to which the evidence supplied in the project reasonably assures an increase in minority and women's control of, operation of and participation in public telecommunications entities; (f) The extent to which the various items of eligible apparatus proposed are necessary to, and capable of, achieving the objectives of the project and will permit the most efficient use of the grant funds in serving the proposed total community; (g) The extent to which the eligible equipment requested meets current telecommunications industry performance standards; (h) The extent to which the applicant will have available sufficient qualified staff; and will provide services of professional quality; (i) The extent to which the applicant has planned and coordinated the proposed services with other telecommunications entities in the service area; (j) The extent to which the project implements local, Statewide or regional public telecommunications systems plans, if any; (k) The extent to which the applicant's proposed five-year facilities plan required by Section 392(a) of the Act is practical, financially affordable, and consistent with the intent of the Act and Regulations; and (l) The approval by the FCC of any necessary authorizations. Funding Criteria for Planning Applications -in order to achieve the objectives of Section 393 of the Act, the Administrator, in determining whether to approve an application for a Federal grant in whole or in part and the amount of such grant or whether to defer action on such an application will consider, in addition to how well the applicant has satisfied the assurances in Section 392(a) of the Act, the following factors (the order of listing implies no priority); (1) The extent to which the applicant's interests and purposes have relevance to the proposed planning; (2) The qualifications of the proposed planner to provide for a public telecommunications facilities plan: (3) The extent to which the planning projects procedure design will assure adequacy: (a) ascertainment of the needs of the area to be served; (b) financial, human, and support resources necessary to conduct the plan; (c) public awareness of and participation in the proposed planning; (d) coordination with other telecommunications entities at the local, State, regional, and national levels; (e) evaluation of alternate technologies and duplication of services; (f) participation by minorities and women: (4) The extent to which the completed plan incorporates provisions for implementing the proposed telecommunications service(s) and addresses the funding objectives of the Act - i.e. engineering, legal, site preparation (leases, land acquisition, etc.), construction, 5-year plan of proposed services and appropriate facilities, operations (fiscal resources, staff etc.): and (5) The extent to which the proposed procedure and timetable are feasible and can achieve the expected results.

## 11.551 PUBLIC TELECOMMUNICATIONS SERVICES PROGRAM

### (Satellite Applications Program)

**FEDERAL AGENCY:** NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Executive Order 12046, Section 2-4 and Department Organization Order 10-10.

**OBJECTIVES:** To develop mechanisms to aggregate dispersed, low volume public service satellite users, both Federal and non-Federal to the point where the public sector can use unsubsidized commercially available satellite services.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Provides funding for the implementation and management of public telecommunications services that are needed by public service organizations and Federal, State, and local government agencies. Funds can be used for the identification, aggregation and development of users/markets; assessment of communications service requirements; procurement/lease of needed facilities; marketing of existing and new program/service offerings; and, any other activities necessary to establish and manage a financially self-sufficient telecommunications service for public agencies. The program also provides for the distribution of broadband, teleconferencing, training, and hybrid services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Non-Federal public organizations; private nonprofit organizations; for-profit organizations; profit telecommunications organizations; and established common carriers or their wholly-owned subsidiaries.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application form, OMB Form 424, as furnished by the Federal agency and required by OMB Circular No. A-102 must be used. Applicant assumes full responsibility for compliance with FCC regulations, tariff filings, rulemakings, and procedures throughout the term of the grant. Program staff members are available to provide assistance in preparing application forms. Applicants must coordinate their project plans with the State Clearinghouse Agency in accordance with OMB Circular A-95.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. Applications are reviewed by an intergovernmental panel. Those found to be complete and in accordance with program regulations are accepted for filing. The grants administrator within NTIA publishes notice in the Federal Register of the acceptance for filing of each application.

**Award Procedure:** Applications are reviewed and rated on the basis of program/service offerings and economic viability. The grants administrator may divide funding among all qualified applicants. He publishes in the Federal Register the names of all selected grantees, and notifies them personally in writing.

**Deadlines:** The Administrator, NTIA, shall select and publish in the The Federal Register the date by which new applications to be considered for funding in the current fiscal year must be filed.

**Range of Approval/Disapproval Time:** Approximately 90 days.

**Appeals:** Appeals shall be administered according to 44 Federal Register 185 (Friday, September 21, 1979), Proposed Order on Grants Administration for the U.S. Department of Commerce.

**Renewals:** All grantees may compete for funding in the program, however, there is no provision for extended funding without new bids at each solicitation request.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Administrator, NTIA, may provide up to 100 percent of the funds necessary to lease and purchase telecommunications facilities and/or services-e.g. transponder time-for marketing, needs assessment, user analysis, and any other activities intrinsic to establishing a stable, responsive PTS. Purchasing of property shall comply with Attachment N of OMB Circular No. A-110.

**Length and Time Phasing of Assistance:** Subject to congressional appropriations, funding will be available, in decreasing annual amounts, for four years, beginning on the date of the first award. Original and follow-on grant requests will be considered annually on a competitive basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual substantive evaluation report is required (the criteria of which will be outlined in the grantees PTS system proposal). A complete financial plan must be submitted as part of the proposal. This plan will be revised annually reflecting changes in user fees, facilities and costs and all other accounting data, e.g. depreciation. Quarterly reports documenting and evaluating progress will be submitted. These reports will include discussions of: a) problems encountered during this reporting period; b) approaches for resolving the problems; c) tasks completed during reporting period; and d) major activities to be initiated in next reporting period.

**Audits:** Each organizational unit shall comply with the applicable provisions of Attachment K of OMB Circular No. A-110 and Attachments L and P of OMB Circular No. A-102. Periodic audits should be made as part of the recipients systems of financial management and internal control to meet terms and conditions of grants and other agreements, as well as OMB Circular No. A-73 and DAO 213-4, External Auditing and Reporting.

**Records:** As required by OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0550-0-1-376.

**Obligations:** (Grants) FY 81 $890,000; FY 82 est &650,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $150,000 to $300,000.

**PROGRAM ACCOMPLISHMENTS:** The grantees selected for fiscal year 1980 funding are developing Public Telecommunications Services. The four grantees and their major areas of responsibilities under the PTS grant are as follow: 1. The Appalachian Community Service Network. ACSN has expanded its satellite/cable network, to offer instructional and community service programs to cable systems nationwide. This builds upon past Federal commitment to transfer this activity from a NASA experiment to an operational system. 2. Bell and Howell Company. Bell and Howell, an internatonal manufacturer of audio-visual hardware, has developed the Bell and Howell Satellite Network which is linking multiple locations through satellite earth stations. The network is used by public service organizations and government agencies for training, education, teleconferencing and community outreach. 3. The Public Service Satellite Consortium. PSSC is a national telecommunications organization composed of about 100 non-profit entities and an experienced staff of telecommunications experts. PSSC's Denver uplink, transportable earth station and consulting services are being partially supported by the NTIA grant. 4. American Educational Television Network. AETN is a new forprofit corporation which has reserved space on an RCA satellite to transmit specialized continuing education programing to members of professional associations and employee organizations, helping to meet state licensing and college credit requirements.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 Federal Register 30 (Tuesday February 12, 1980) National Telecommunications and Information Administration; Public Telecommunications Services Program Solicitation for Grant Proposals. 41 Federal Register 148 (Friday, July 30, 1978) Uniform Administrative Requirements for Grants to Hospitals, Educational Institutions and Nonprofit Organizations, OMB Circular No. A-110. 42 Federal Register 176 (Monday, September 12, 1977), Uniform Administration Requirements for Grants-In-Aid to State and Local Governments, OMB Circular A-102. Proposals must not violate or abridge pertinent Federal Communications Commission regulations. 44 Federal Register 185 (Friday, September 21, 1979), Proposed Order on Grants Administration for the U.S. Department of Commerce.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** John O'Neill, Office of Policy Analysis and Development, National Telecommunications and Information Administration, U.S. Department of Commerce, 14th and Constitution, N.W., Washington, DC 20230. Telephone: (202) 377-1880.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** See Program Accomplishment Section of this program.

**CRITERIA FOR SELECTING PROPOSALS:** Following are sections which must compose the body of the proposal and which reflect the criteria by which the proposals will be weighed. Adherence to the prescribed format cannot be overemphasized; failure to respond to all requirements may result in disqualification: (a) demonstrated competence (30 percent); (b) detailed plans for establishing and operating the proposed Public Telecommunications Services (PTS) (30 percent); (c) statement of financial plan (25 percent); (d) immediacy of operation (10 percent); and (e) evaluation plan (5 percent).

## 11.601 CALIBRATION AND TESTING SERVICES

**FEDERAL AGENCY:** NATIONAL BUREAU OF STANDARDS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** National Bureau of Standards Organic Act, as amended; Public Law 56-177, as amended; 15 U.S.C. 271 et seq.

**OBJECTIVES:** To provide a consistent system of physical measurement in the United States of America.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides the scientific basis for measurements that are used for assurance of interchangeability and uniformity of manufactured items, for process control, for informational and scientific purposes, and for fairness and objectivity in commerce and regulation. There are no use restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Calibrations are provided on a fee basis to State and local governments, academic institutions, scientific laboratories, industrial firms, corporations, and individuals. Fees may be waived for State and State supported regulatory agencies.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submission of purchase order to: Office of Measurement Services or appropriate technical division, National Bureau of Standards, Department of Commerce, Washington, DC 20234; or to appropriate technical division, National Bureau of Standards, Department of Commerce, Boulder, CO 80303.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0500-0-1-376; 13-4650-0-4-376.

**Obligations:** (Salaries and expenses) FY 81 $2,510,000; FY 82 est $2,700,000; and FY 83 est $2,700,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, NBS performed about 7,000 tests of standards and measuring devices for approximately 1,000 different organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** National Bureau of Standards Special Publication 250 "Calibration and Related Measurement Services of the National Bureau of Standards." Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, Cost: Program Literature - The NBS TN's (Technical Notes), SP's (Special Publications), and Monographs listed in SP 250 may be obtained at the price indicated from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402 or from the National Technical Information Service, Springfield, VA 22151.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Measurement Services, National Bureau of Standards, Department of Commerce, Washington, DC 20234. Telephone: (301) 921-2805.

**RELATED PROGRAMS:** 11.604, Standard Reference Materials; 11.606, Weights and Measures Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.603 NATIONAL STANDARD REFERENCE DATA SYSTEM (NSRDS)

**FEDERAL AGENCY:** NATIONAL BUREAU OF STANDARDS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Standard Reference Data Act; Public Law 90-396; 15 U.S.C. 290; and National Bureau of Standards Organic Act, as amended; Public Law 56-177, as amended; 15 U.S.C. 271 et seq.

**OBJECTIVES:** To make evaluated scientific and technical data readily available to scientists, engineers, and the general public.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** These data aid the scientist or engineer by providing him with reliable evaluated information on the chemical and physical properties of substances. Evaluations are carried out through a network of data centers and projects. The information Service answer data requests. There are no specific use restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State or municipal government, societies, institutions, firms, corporations and individuals.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0500-0-1-376; 13-4650-0-4-376.

**Obligations:** (Salaries and expenses) FY 81 $3,332,000; FY 82 est $3,334,000; and FY 83 est $3,384,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 44 publications were issued, and 850 inquiries and requests were handled. In fiscal year 1982, an estimated 40 more publications are scheduled for issue.

**REGULATIONS, GUIDELINES, AND LITERATURE:** NSRDS Publication List (free on request); Technical activities 1981 (updated yearly) for the Office of Standard Reference Data, (NBSIR 81-2442, National Technical Information Service $9.50).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Department of Commerce Field Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Standard Reference Data, National Bureau of Standards, Department of Commerce, Washington, DC 20234. Telephone: (301) 921-2467.

**RELATED PROGRAMS:** 11.604, Standard Reference Materials; 11.650, National Technical Information Service; 42.007, Reference Services in Science and Technology; 11.651, Science Information Exchange, Inc.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.604 STANDARD REFERENCE MATERIALS (SRM)

**FEDERAL AGENCY:** NATIONAL BUREAU OF STANDARDS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** National Bureau of Standards Organic Act, as amended; Public Law 56-177, as amended; 15 U.S.C. 271 et seq.

**OBJECTIVES:** Standard reference materials are certified and issued by NBS to calibrate measurement systems to (1) facilitate the exchange of goods; (2) permit quality control; (3) determine performance characteristics; and (4) characterize materials at scientific frontiers.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Standard reference materials are used as primary reference measurement standards in such areas as clinical laboratory testing air and water pollution monitoring, low-level radioactive pollution monitoring, and for quality control in the production of basic materials such as steel, rubber, cement and plastics. Standard reference materials can be used in quality control, determination of performance characteristics, and scientific research. Some nuclear and radioactivity standards require a Nuclear Regulatory Commission license; other than this there are no use restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, societies, institutions, firms, corporations, and individuals may purchase the materials.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Purchase order to: Office of Standard Reference Materials, National Bureau of Standards, Washington, DC 20234.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0500-0-1-376; 13-4650-0-4-376.

**Obligations:** (Salaries and expenses) FY 81 $5,700,000; FY 82 est $6,350,000; and FY 83 est $5,500,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 40,847 units were sold. There were approximately 200 new and renewed SRM's produced, certified and placed in inventory. In fiscal year 1981, sales were 40,304 units, FY 82 estimated 36,000 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:** General information is available from: Office of Standard Reference Materials, National Bureau of Standards, Washington, DC 20234, at no cost. Catalog is available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, at a price of $3.00, (Order C13.10.260).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Department of Commerce Field Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Standard Reference Materials, National Bureau of Standards, Washington, DC 20234. Telephone: (301) 921-2045.

**RELATED PROGRAMS:** 11.601, Calibration and Testing Services; 11.603, National Standard Reference Data System; 11.650, National Technical Information Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.606 WEIGHTS AND MEASURES SERVICE

**FEDERAL AGENCY:** NATIONAL BUREAU OF STANDARDS, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** National Bureau of Standards Organic Act, as amended; Public Law 56-177, as amended 15 U.S.C. 271 et seq. and 15 U.S.C. 201 et seq.

**OBJECTIVES:** To provide leadership and technical resources to assure the accuracy of the quantities and quantity representations in all commercial transactions for all buyers and sellers in the United States, and to promote a uniform national weights and measures system.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** This program provides education and assistance to States, device manufacturers, and the packaging industry in weights and measures problems, model laws, and the development of State laboratories and serves as the Executive Secretariat for the National Conference on Weights and Measures. It includes publications, special studies, legal and technical assistance, metric coordination, and technical training. There are no restrictions on the use of this material.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States, private industry, and the general public.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter requesting services sent to Chief, Office of Weights and Measures, National Bureau of Standards, Washington, DC 20234.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0500-0-1-376; 13-4650-0-4-376.

**Obligations:** (Salaries and expenses) FY 81 $817,200; FY 82 est $882,500; and FY 83 est $970,000.

**Range and Average of Financial Assistance:** No financial assistance available.

**PROGRAM ACCOMPLISHMENTS:** Worked with representatives of manufacturers, packagers, distributors, consumer groups, and officials in State and local jurisdictions who enforce laws and regulations governing packages and measuring devices to ensure economic equity and uniformity in commerce. NBS also sponsors the National Conference on Weights and Measures which aids in the development of uniform and compatible State weights and measures laws and regulations, codes for measuring device design and performance criteria, and the implementation of test procedures. Provides the Executive Secretariat for the Conference, participates actively in its affairs, and provides technical assistance to its members.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Model laws and regulations relating to weights and measures enforcement, packaging and labeling guidelines, method of sale of commodities, unit pricing, open dating, and registration of servicemen, service agencies, and weighmasters. Test manuals for specific measuring devices. Design and performance codes for scales, liquid and vapor meters, distance and time measuring devices and other measuring equipment. List of publications available from the Office of Weights and Measures, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, Office of Weights and Measures, National Bureau of Standards, Room A-359, Physics Building, Washington, DC 20234. Telephone: (301) 921-2401.

**RELATED PROGRAMS:** 11.601, Calibration and Testing Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.650 NATIONAL TECHNICAL INFORMATION SERVICE

## (NTIS)

**FEDERAL AGENCY:** NATIONAL TECHNICAL INFORMATION SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Research and Technical Services Act; Public Law 81-776; 15 U.S.C.-1151-1157.

**OBJECTIVES:** To serve as the central source of domestic and foreign federally sponsored technical information and associated data. To make this information readily available to the public and private sectors, recovering its costs from sales.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides an extensive inventory of approximately 1,300,000 technical and related reports, 780,000 of which are computer generated. Customers may quickly locate summaries of interest using the agency's on-line computer search service or by referring to some 3,500 published searches (NTI-Search.) Approximately 80,000 new reports are added annually. Copies of the entire research reports are sold by NTIS in paper or microfiche. The NTIS Bibliographic Data File (on magnetic tape) is available for lease. The computer products of other Federal agencies also are sold or leased by NTIS. Current summaries of new research reports and other specialized information in various categories of interest are published in several weekly abstract newsletters and these are indexed. An all-inclusive bi-weekly journal (Government Reports Announcements and Indexes) is published for librarians, technical information specialists and those requiring all the summaries in a single volume. A standing order microfiche service (SRIM) automatically provides subscribers with the full texts of research reports specially selected to satisfy individual requirements. Through the licensing of federally owned patents, brings selected inventions to the attention of U.S. industry, and prevents unrestricted, uncompensated foreign use of U.S. Government invention technology. Protects important foreign markets for U.S. trade and development by the filing of foreign patent applications on selected inventions. Proides utilization of foreign technological and scientific advances within the U.S. industrial sector by collecting, translating, and disseminating scientific and technical information originating outside the U.S.. Abstracts and indexes patent documents to align them with the needs of the research community.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any U.S. and most foreign organizations or individuals are eligible to purchase NTIS products and services.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Prepayment is required for all products and services.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required.

**Application Procedure:** Write NTIS, 5285 Port Royal Road, Springfield, VA 22161, for information concerning products, services, service charges, and order forms.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0500-0-1-376; 13-8546-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 trust fund $20,789,000; appropriation, $3,172,000; FY 82 est trust fund $24,000,000, appropriation $5,108,000; and FY 83 est trust fund $26,000,000, appropriation $1,980,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** NTIS has in excess of 1,300,000 scientific, technical, and engineering reports available in either paper copy or microfiche form. In fiscal year 1981, 650,000 paper copies and 2,900,000 microfiche reports were sold. It ships on a daily basis, more than 23,000 information products to customers, including subscriptions, published searches, microfiche and data base products. Approximately 19 royalty bearing licenses have been granted, and 83 foreign patent applications have been filed. NTIS has acquired 7,000 foreign technical reports and translated 340.

**REGULATIONS, GUIDELINES, AND LITERATURE:** NTIS descriptive brochures, product and service brochures are available on request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Joseph F. Caponio, Acting Director, 5285 Port Royal Road, Room 200 YT, Springfield, VA 22161. Telephone: (703) 487-4636 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 11.603, National Standard Reference Data System; 11.604, Standard Reference Materials; 11.900, Patent and Trademark Technical Information Dissemination; 15.953, Water Resources Scientific Information Center; 39.005, National Audiovisual Center; 39.008, Federal Information Center; 39.009, Consumer Information Center; 40.001, Depository Libraries for Government Publications; 40.002, Government Publications-Sales and Distribution; 42.007, Reference Services in Science and Technology; 43.002, Technology Transfer; 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 11.651 SCIENCE INFORMATION EXCHANGE, INC.

## (SIE)

**FEDERAL AGENCY:** NATIONAL TECHNICAL INFORMATION SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** The Smithsonian under its general authority (See Authorization of 60.001) created the Exchange as a D.C. Nonprofit Corporation under 29 D.C. Code ss 29-1001 et seq.

**OBJECTIVES:** To disseminate information on Federal research in progress in order to enhance the management and application of our nation's resources for science and technology.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Science Information Exchange maintains an indexed register of most ongoing scientific research projects, with a brief description of each. The register includes projects supported by Federal and non-Federal agencies. Federal agencies and many non-Federal agencies with major research programs voluntarily cooperate by furnishing the Exchange with information on their current research programs and projects. Each research record includes the name of the supporting agency, principal and associate investigator, location of work, level of effort and dates of active work. A 200-word description also is included. These items are analyzed and indexed to assure retrieval of all records related to a specific research element or topic. Any element or combination of items can be compiled or assembled to answer a variety of questions. There is a charge made for the cost of retrieving and providing information from the file. Cost and specific products are described in a brochure (see REGULATIONS, GUIDELINES, AND LITERATURE).

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** All descriptions of scientific research in progress submitted will be included. Anyone may reference the file.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Each principal investigator or the granting organization completes a single page "Notice of Research Project." This provides the detailed information described under USES AND USE RESTRICTIONS. To retrieve information from the data on record, the requester contacts the Exchange and outlines his requirements or completes an order form which specifies his needs.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** All reasonable efforts will be made to assure that documents or information ordered will be retrieved and mailed to the requester as soon as possible after receipt of the order. Simple requests will be answered within a week.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Service charges are made, varying with the service furnished. Service fee schedule is available on request.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** None.

**Audits:** None.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 13-0500-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $2,152,000; FY 82 est $2,042,000; and FY 83 est $0. (SIE ceased active operations on October 30, 1981. Funding for 1982 was requested to terminate operations and no funds will be required for 1983.)

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: Through May of fiscal year 1980, nearly 672,000 Notices of Research Projects were provided to requesters (individual scientists and research managers) through SIE's search services; in addition, SIE compiled for publication by the Government a number of directories of ongoing research in specific subject areas, and operated on behalf of the National Cancer Institute's ICRDB program, the Current Cancer Research Project Analysis Center (CCRESPAC).

REGULATIONS, GUIDELINES, AND LITERATURE: "Smithsonian Year;" "Smithsonian Opportunities for Research and Study;" brochures; service fee schedules; and descriptive material.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Dr. David F. Hersey, President, Science Information Exchange, Room 300, 1730 M Street, N.W., Washington, DC 20036. Telephone: (202) 634-3933 (Use same 7-digit number for FTS).

RELATED PROGRAMS: 11.603, National Standard Reference Data System; 11.650, National Technical Information Service; 15.953, Water Resources Scientific Information Center; 42.007, Reference Services in Science and Technology; 43.002, Technology Transfer; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 11.800 MINORITY BUSINESS DEVELOPMENT—MANAGEMENT AND TECHNICAL ASSISTANCE

## (MBDA)

**FEDERAL AGENCY:** MINORITY BUSINESS DEVELOPMENT AGENCY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Executive Order 11625, October 13,1971.

**OBJECTIVES:** To provide management and technical assistance to minority businesses through use of professional management consulting organizations with proven methods of professional assistance; to increase the availability of capital from public and private sources for the formation and expansion of minority businesses; to increase the level of private sector purchases from minority owned businesses; to increase the participation of minority entrepreneurs in growth sectors of the economy including high technology industries.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Recipients provide clients, with advice and counseling in such areas as preparing financial packages, business counseling, business information and management, accounting guidance, marketing, business/industrial site analysis, production, engineering, construction assistance, procurement, identification of potential business opportunities, advice on mergers and divestitures, and identification of capital sources. Technical assistance can also be provided through organizations funded by the agency, to test and market new scientific and industrial technologies which will promote minority businesses. Financial assistance can not be used as a loan to an existing or potential business.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** There are no eligibility restrictions for MBDA Awards. Eligible applicants may include States, federally recognized Indian tribal governments, local governments, educational organizations and other nonprofit organizations as well as individuals, firms and organizations doing business for profit.

**Beneficiary Eligibility:** Recipient is to provide assistance to minority-owned business or persons whose gross receipts exceed $150,000 a year and/or have paid employees. Priority consideration will be given to firms that (1) are currently operating a successful business and seek to expand, (2) current businesses that have a need for assistance in order to preserve their business, (3) prospective entrepreneurs (those seeking to start or acquire a new business will be accepted as clients only if their business plans and projections indicate a reasonable likelihood that their ventures will reach an annual sales volume of $150,000 or have paid employees within two years after MBDA assistance is first rendered, (4—) other potential business persons who wish to enter a business venture involving high and/or technology growth industries. Priority consideration will be given those firms whose current or projected gross sales exceed $500,000 a year.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for awards to State, local and federally recognized Indian tribal governments; OMB Circular No. A-21 for educational institutions; Part 15 of Title 41 CFR for profit making firms; and OMB Circular A-122 is used for other nonprofits. OMB Circular A-102 contains administrative requirements for States, local and Federally recognized Indian tribal governments. All other recipients are subject to the administrative requirements contained in OMB Circular A-110.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication conferences will be scheduled for most MBDA projects. All preapplication conferences will be announced in the Federal Register.

**Application Procedure:** The application forms contained in OMB Circular A-102 are used for all MBDA projects. Grants pertaining to Enterprise Development will be awarded on a formal competitive basis based upon applications submitted in response to notices published in the Federal Register and the Commerce Business Daily. All other awards will not be advertised. Contracts are entered into and administered under procurement laws and regulations by a centralized procurement office in the Commerce Department. Contracts will be awarded on a competitive basis unless a noncompetitive environmental can be documented. Request for Proposals (RFP) will be announced in the Commerce Business Daily. Unsolicited proposals are accepted.

**Award Procedure:** The application package will advise the applicant where to submit the application. Each application will be reviewed and evaluated by MBDA. Name checks and pre-award audits may be required from applicants. Notification of all awards will be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines for a formal competitive award are outlined in the Federal Register and Commerce Business Daily.

**Range of Approval/Disapproval Time:** 4 to 6 months. Unsuccessful applicants shall be notified in writing at the same time that notification is sent to the successful applicant.

**Appeals:** All decisions are final. There is no administrative appeal process.

**Renewals:** Some grants awarded on a competitive basis may be renewed for two additional years without undergoing formal competition. Such options will be exercised at MBDA's discretion. The remaining funds are for new projects.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Some MBDA projects do not require any matching or cost sharing by the recipient. State and local governments are required to provide 25 percent non-Federal contribution in either cash or in-kind. MBDA reserves the right to decide on a case-by-case basis whether a non-Federal contribution is required in other program areas so as to successfully implement the program.

**Length and Time Phasing of Assistance:** 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial (annually); narrative (quarterly and annually); statistical reports on each client are required.

**Audits:** Federal audits will be made in accordance with FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Unresolved audit issues of a substantive nature may resut in the recipient not being considered for continuation of funding.

**Records:** Documents, papers, and financial records relating to the project are required to remain available to MBDA for 3 years from the date of submission of the final status report.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-0201-0-1-376.

**Obligations:** (Contracts) FY 81 $761,000; FY 82 est $895,000; and FY 83 est $1,132,000. (Grants) FY 81 $32,796,000; FY 82 est $45,087,000; and FY 83 est $45,368,000.

**Range and Average of Financial Assistance:** Awards have ranged from $10,000 to $3,000,000, with the average award being $200,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, MBDA funded approximately 170 locations that provided management and technical assistance to minority business enterprise. Of the 25,804 clients who received assistance in fiscal year 1980, 15,290 represented actual operating business enterprises with gross receipts of $6.4 billion. Clients obtained 4,322 financial packages valued at $364.3 million. The total number of procurement contract awards obtained was 8,749 with a dollar value of $882.8 million. Approximately 315 new business starts were generated. Over 28% of the management and technical assistance provided to clients was in business packaging, while 13% went for construction services and 12% in marketing assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:** There are no applicable regulations in the Code of Federal Regulations (CFR).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact nearest Minority Business Development Agency Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** George Parish, Chief, Grants Administration Division Room 5090; Minority Business Development Agency, Department of Commerce, 14th and Constitution Avenue, N.W. Washington, DC 20230. Telephone: (202) 377-3165.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.303, Economic Development—Technical Assistance; 15.850, Indian Arts and Crafts Development; 39.001, Business Services; 59.003, Economic Opportunity Loans for Small Businesses; 59.005, Management Assistance to Small Businesses; 59.006, Minority Business Development—Procurement Assistance; 59.007, Management and Technical Assistance for Disadvantaged Businessmen; 59.009, Procurement and Technical Assistance to Small Businesses; 59.011, Small Business Investment Companies; 59.012, Small Business Loans; 59.032, Office of Women's Business Enterprise.

**EXAMPLES OF FUNDED PROJECTS:** Examples of the types of projects which were funded in fiscal year 1980 include: 1) A profit-making consulting firm received a $190,125 award to investigate and identify growth areas, to provide methodology for future identification of industry growth areas to develop extensive financial profiles of the growth areas. 2) Three professional consultant firms were awarded $600,000 to assist minority clients in analysis and negotiating acquisition opportunities. Each consulting firm will be assigned task orders to complete various phases of the process toward completion of the acquisition. 3) A for-profit financial reporting firm received $215,000 to monitor all MBDA assisted clients and a matched control group of non-minority clients for changes in business conditions and provide a series of reports on these groups. 4) A for-profit organization received $204,000 to develop alternative financial resources for industrial innovation projects located throughout the continental U.S.

**CRITERIA FOR SELECTING PROPOSALS:** Competitive awards for Enterprise Development projects are made based upon an evaluation of the applications. This evaluation includes such factors as capability of the staff assigned to the project (30 points), management capability of the applicant (25 points), credentials (30 points), and the applicants work plan to be served (25 points).

## 11.900 PATENT AND TRADEMARK TECHNICAL INFORMATION DISSEMINATION

**FEDERAL AGENCY:** PATENT AND TRADEMARK OFFICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** 35 U.S.C. 1-42.

**OBJECTIVES:** To promote the continued growth of American technology and business through the utilization and dissemination of technical information available through patents, and maintenance of public search centers containing patents and trademarks.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Patent and Trademark Office examines patent applications to determine the patentability of an invention and grants patents when requirements of law are met. It publishes and disseminates information, including copies of patents which are sold at $0.50 each, and maintains a public search room at the Patent and Trademark Office Headquarters at 2021 Jefferson Davis Highway, Arlington, VA, which contains the world's largest collection of applied technical information in the form of patents. The more than 4,000,000 U.S. patents issued to date and related documents and several million foreign patents are arranged by subject classes and subclasses for searching. The search room is open from 8 a.m. to 8 p.m. work days and may be used by anyone at no charge. The device described in a patent cannot be manufactured and sold except by the inventor or his assignee for 17 years after the date of patent issuance, after which it goes into the public domain. However, technical information contained in a patent can be used in many other ways. Copies of trademarks are available for a fee, or may be examined in the trademark search center.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone is eligible.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Letter or personal inquiry to the Patent Office Headquarters, 2021 Jefferson Davis Highway, Arlington, VA.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 13-1006-0-1-376; 13-8546-0-7-376.

**Obligations:** (Salaries and expenses) FY 81 $6,497,000; FY 82 est $6,698,000; and FY 83 est $8,366,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** There are 130,000 searches made annually in Patent Office's public search room. An average of 22,000 patent copies are sold daily. (Patent copies $0.50 each.)

**REGULATIONS, GUIDELINES, AND LITERATURE:** "General Information Concerning Patents;" $2.25 cents.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Department of Commerce field offices listed in Catalog Appendix IV.

**Headquarters Office:** Oscar G. Mastin, U.S. Patent and Trademark Office, Department of Commerce, Washington, DC 20231. Telephone: (703) 557-3428.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 42.002 Copyright Service; 81.003, Granting of Patent Licenses.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# DEPARTMENT OF DEFENSE

## DEFENSE LOGISTICS AGENCY

### 12.001 INDUSTRIAL EQUIPMENT LOANS TO EDUCATIONAL INSTITUTIONS

### (Tools for Schools)

**FEDERAL AGENCY:** DEFENSE LOGISTICS AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Public Law 93-155. 50 U.S.C. 451.

**OBJECTIVES:** To develop skilled manpower as an industrial preparedness measure.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Qualified educational institutions and training schools may be loaned idle equipment from the Defense Industrial Reserve.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Qualified non-profit educational institutions and training schools which conduct vocational programs contributing materially to national defense.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter of request to: Commander, Defense Industrial Plant Equipment Center, Memphis TN 38114.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Two weeks for application, up to 5 months for property to be shipped.

**Appeals:** None.

**Renewals:** Reapplication.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Equipment, if available is loaned without charge to qualified educational institutions and vocational training schools. The recipient must provide funds for maintenance, packing, crating, handling, transportation, and installation.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** The Defense Industrial Plant Equipment Center conducts inspections to evaluate program objectives, equipment maintenance, degree of utilization, and adherence to course curricula.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** Not applicable.

**Obligations:** (Total value of property at acquisition value on loan) FY 81 $40,328,000; FY 82 est $40,720,000; and FY 83 est $41,500,000.

**Range and Average of Financial Assistance:** Average loan is 9 machines with approximate total acquisition value of $59,000.

**PROGRAM ACCOMPLISHMENTS:** At the end of fiscal year 1981, 684 loans were in effect covering 6,049 tools with an acquisition value at $40,328,000. At the end of fiscal year 1982 (first quarter), 690 loans were in effect covering 6,085 tools with an acquisition value at $40,720,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Pamphlet published by Defense Industrial Plant Equipment Center entitled "Tools for Schools."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Commander, Defense Industrial Plant Equipment Center, Memphis, TN 38114. Telephone: (901) 744-5641.

**Headquarters Office:** Directorate of Technical and Logistics Services, Defense Logistics Agency, Cameron Station, Alexandria, VA 22314. Telephone: (202) 274-6269.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## DEPARTMENT OF THE ARMY, OFFICE OF THE CHIEF OF ENGINEERS

### 12.100 AQUATIC PLANT CONTROL

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 104 of the River and Harbor Act of 1958; Section 302 of the River and Harbor Act of 1965; Public Law 89-298; Public Law 85-500; 33 U.S.C. 610.

**OBJECTIVES:** To provide for the cooperation of the Army Corps of Engineers with State, and local government agencies in the control of obnoxious aquatic plants in rivers, harbors, and allied waters.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** To supply Federal assistance for the control and eradication of obnoxious aquatic plants in rivers, harbors and allied waters. Non-Federal interests must agree to hold the government of the United States free from damages and to finance 30 percent of the costs of control operations. The program is designed to deal primarily with weed infestations of major economic significance including such weeds as waterhyacinth, alligatorweed, elodea, watermilfoil, and others which constitute a known problem of economic importance in the area involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and their political subdivisions or instrumentalities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Letters of intent from applicant to provide 30 percent of the costs of control operations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Cooperative action of local, State, Federal and other interests in support of the project. This program requires the submission of an environmental impact statement.

**Application Procedure:** A letter to the nearest District Engineer requesting a reconnaissance study of the problem.

**Award Procedure:** Preparation, approval and budget of a General Design Memorandum.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 6 to 18 months.

**Appeals:** There are no appeals procedures as such. The reasons for refusal will be fully stated. If reconsideration is desired, the applicant should make the changes as appropriate to the situation.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 30 percent of the cost of operations must be obtained from local and State resources.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Office of Comptroller.

**Records:** District Engineer.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3122-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $4,900,000; FY 82 est $4,830,000; and FY 83 est $4,500,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, operations continued in Gulf Coast States. Program objectives have been restructured to find more efficient and effective control tools with accomplishments to be achieved through large scale operational field tests. Base line date studies continue for the large scale test using the White Amur fish for control of Hydrilla in the Jacksonville District. The White Amur was released at the test site. EPA registration is pending for the herbicide Diquat for use in flowing water. Plan I using an off-the-shelf mechanical harvester was completed, and analysis of the data has been done. Final EIS for control of Eurasian Watermilfoil in the State of Washington has been filed and preliminary efforts on control have begun. The State of Vermont Reconnaissance Report on Lake Champlain has been completed and approved. A design memorandum has been prepared. The evaluation study of Fluridone formulation for control of Hydrilla in Gatun Lake, Panama Canal Zone has been completed and published.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 1130-2-412 (33) U.S.C. 273) and information sheets describing the program are available from the District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the office of the nearest U.S. Army Division or District Engineer listed in the Appendix IV of the Catalog.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWO-R, Washington, DC 20314. Telephone (202) 272-0247.

**RELATED PROGRAMS:** 10.025, Plant and Animal Disease and Pest Control; 15.601, Animal Damage Control.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable. Jacksonville District. Dade County project for use of the herbicide Diquat in flowing water.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 12.101 BEACH EROSION CONTROL PROJECTS

### (Small Beach Erosion Control Projects)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 103 of the 1962 River and Harbor Act, as amended; Public Law 87-874; 33 U.S.C. 426g.

**OBJECTIVES:** To control all beach and shore erosion to public shores through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Corps of Engineers designs and constructs the project. Each project selected must be engineeringly feasible, complete within itself, and economically justified. The non-Federal sponsoring agency must agree to (1) assume full responsibility for all project costs in excess of the Federal cost limit of $1,000,000; (2) provide all necessary lands, easements, rights-of-way; (3) hold and save the United States free from damages; (4) assure that water pollution that would affect the health of bathers will not be permitted; (5) assure continued public ownership or public use of the beach, and its administration for public use; (6) provide project maintenance; and (7) provide and maintain necessary access roads, parking areas and other public use facilities open and available to all on equal terms.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of states or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal authorization, financial capability, and willingness to provide all necessary local participation and required cooperation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental impact statement is also required.

**Application Procedure:** Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:** The Chief of Engineers approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Local cost participation requirements and procedures for determining the local share of project cost are similar to those for beach erosion control projects specifically authorized by Congress under regular authorization procedures. The determination of local cost is based on the public use and ownership of the beach protected. The Federal participation can not exceed $1,000,000 or 70 percent of project cost whichever is lower.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:** Not applicable.

**Records:** As necessary to show past project conditions and local actions.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3122-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $1,196,000; FY 82 est $2,000,000; and FY 83 est $2,100,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Three projects were under construction in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 1105-2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for a listing of District Engineers.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWP-A Washington, DC 20314. Telephone: (202) 272-0141.

**RELATED PROGRAMS:** 12.102, Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.102 FLOOD CONTROL WORKS AND FEDERALLY AUTHORIZED COASTAL PROTECTION WORKS, REHABILITATION

### (Public Law 99 Program)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Public Law 84-99, Flood Control Act of 1941; Public Law 77-228; as amended by Public Laws 87-874, 93-251, and 95-51; 33 U.S.C. 701n.

**OBJECTIVES:** To assist in the repair and restoration of flood or control works damaged by flood, or federally authorized hurricane-flood and shore protection works damaged by extraordinary wind, wave, or water action.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Authorized assistance includes emergency repair or rehabilitation of flood control works damaged by flood, and restoration of federally authorized coastal protection structures damaged by extraordinary wind, wave, or water action. Assistance does not extend to major improvements of flood control or federally authorized coastal protection structures, nor to reimbursement of individuals or communities for funds expended in repair or rehabilitation efforts. Local interests are normally required to (a) provide without cost to the United States all lands, easements, and rights-of-way necessary for the authorized work; (b) hold and save the United States free from damages due to the authorized work; and, (c) maintain and operate, in a manner satisfactory to the Chief of Engineers, all the protective works after completion of repairs. Additionally, work constituting deferred regular maintenance and desired major modifications, may be included at local cost.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owners of damaged protective works, or State and local officials of public entities responsible for their maintenance, repair and operation.

**Beneficiary Eligibility:** All persons living in areas protected by eligible flood control or coastal protection works are potential beneficiaries of the program.

**Credentials/Documentation:** For public entities, copy of resolution or other proceeding constituting official request for assistance.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Written application by letter or by form request if such form is locally used by the District Engineer of the Corps of Engineers.

**Award Procedure:** Formal notice of approval and/or disapproval will be furnished applicant by the District Engineer of the Corps of Engineers.

**Deadlines:** Thirty days after a flood or unusual coastal storm.

**Range of Approval/Disapproval Time:** One to 30 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3125-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $8,699,885; FY 82 est $20,000,000; and FY 83 est $20,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, total repair and rehabilitation projects authorized cost $11,400,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 500-1-1, pamphlets and statements are issued by District Engineer Offices and the Office of the Chief of Engineers; they are available on request without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** U.S. Army Division or District Engineers (see Appendix IV of the Catalog).

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWO-E, Washington, DC 20314. Telephone: (202) 272-0251.

**RELATED PROGRAMS:** 12.101, Beach Erosion Control Projects; 12.103, Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized; 12.105, Protection of Essential Highways, Highway Bridge Approaches, and Public Works; 12.108, Snagging and Clearing for Flood Control.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.103 FLOOD FIGHTING AND RESCUE OPERATIONS, AND EMERGENCY PROTECTION OF COASTAL PROTECTIVE WORKS FEDERALLY AUTHORIZED

### (Public Law 99 Program)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Public Law 84-99, Flood Control Act of 1941; Public Law 77-228, as amended by Public Laws 87-874, 93-251 and 95-51; 33 U.S.C. 701n.

**OBJECTIVES:** To provide emergency assistance as required to supplement local efforts and capabilities in time of flood or coastal storm.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Emergency assistance in all phases of flood fighting and rescue operations is provided to supplement local efforts. State and local governments must use their own resources to the maximum extent feasible, usually including the furnishing of common labor. No specific restrictions are placed upon such assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State or local public agencies.

**Beneficiary Eligibility:** All persons living in areas subject to floods, and in eligible areas, are potential beneficiaries.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Oral or written request by responsible State or local agencies.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 6 to 72 hours.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** For duration of emergency.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3125-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $6,915,134; FY 82 est $10,000,000; and FY 83 est $10,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Corps conducts 50 to 250 flood fights annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 500-1-1 pamphlets and statements, are issued by District Engineer Office and the Office of the Chief of Engineers; they are available on request without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** U.S. Army Division or District Engineers (see Appendix IV of the Catalog).

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWO-E, Washington, DC 20314. Telephone: (202) 272-0251.

**RELATED PROGRAMS:** 12.102, Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation; 12.104, Flood Plain Management Services; 12.105, Protection of Essential Highways, Highway Bridge Approaches, and Public Work.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.104 FLOOD PLAIN MANAGEMENT SERVICES (FPMS)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 206 of the Flood Control Act, 1960, as amended; Public Law 86-645; 33 U.S.C. 709a.

**OBJECTIVES:** To promote appropriate recognition of flood hazards in land and water use planning and development through the provision of needed information, technical services, and guidance.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Available information identifies areas subject to flooding and flood losses from streams, lakes, and oceans and describes flood hazard at proposed building sites. It can be used as a basis for planning flood plain use, for assistance in developing flood plain regulations, for setting elevations for flood proofing, and for indicating areas to be acquired for open space. Activities also include interpretation of technical information and related planning assistance and guidance toward wise use of flood plains. Services are available within annual funding limitations from district offices on request. The only exception is that services to individuals are limited to available information. It is intended that information be used in planning and its availability publicized.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States, other public organizations, and individuals as indicated under USES AND USE RESTRICTIONS.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** If request is for information on an individual location, there are no special requirements. If request requires coverage of a sizeable area the request must come from an official of a public agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Although not required, discussion of problem and needs with District Engineer's Flood Plain Management Service representative would facilitate request.

**Application Procedure:** Requests are generally made in the form of a letter to the District Engineer which documents the need for assistance.

**Award Procedure:** Response time and approval time may be the same for information readily available. Services and information are provided directly to the applicant except for some special study reports which are coordinated through the designated State agency.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Three to 30 days from receipt of request. Approval does not assure an immediate start. Each request takes its place among others and is responded to as capability permits.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3121-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $8,215,000; FY 82 est $7,000,000; and FY 83 est $6,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Responses to requests for information and services numbered about 60,000 during Fiscal Year 1981; a continued high response rate is anticipated for Fiscal Year 1982 and beyond.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 1105-2-10, Chapter 5, Flood Plain Management Services Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the District Engineer of the nearest U.S. Army Engineer District; Attn: FPMS. See Appendix IV of the Catalog.

**Headquarters Office:** Office of Chief of Engineers, Attn: DAEN-CWP-F, Washington, DC 20314. Telephone: (202) 272-0169.

**RELATED PROGRAMS:** 10.904, Watershed Protection and Flood Prevention; 12.103, Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized; 12.106, Flood Control Projects; 15.804, Water Resources Investigations; 83.100, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.105 PROTECTION OF ESSENTIAL HIGHWAYS, HIGHWAY BRIDGE APPROACHES, AND PUBLIC WORKS

### (Emergency Bank Protection)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 14 of 1946 Flood Control Act; Public Law 79-526; 33 U.S.C. 701r, as amended by Public Law 93-251.

**OBJECTIVES:** To provide bank protection of highways, highway bridges and essential public works endangered by flood-caused erosion.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Corps of Engineers designs and constructs the project. Each project selected must be engineeringly feasible, complete within itself and economically justified. Non-Federal interests are responsible for all project costs in excess of the Federal limit of $250,000. Non-Federal sponsor must provide lands, easements, rights-of-way; utility relocations; hold and save the United States free from damages; and, maintain the project at local cost after completion.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal authorization, financial ability and willingness to provide all necessary local participation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. Enviromental assessment required.

**Application Procedure:** Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:** The Chief of Engineers approves an individual project upon the basis of an investigation and report by the District Engineer who investigates and processes all applications.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:** Not applicable.

**Records:** As necessary to show past project conditions and local actions.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3122-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $4,819,000; FY 82 est $3,300,000; and FY 83 est $4,200,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Projects at 17 locations were under construction in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 1105-2-10, App. E (33 CFR 263) and information sheets describing this program are available from the nearest District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:** Office of Chief of Engineers, Attn: DAEN-CWP-A, Washington, DC 20314. Telephone: (202) 272-0141.

**RELATED PROGRAMS:** 12.102, Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation; 12.103, Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized.

**EXAMPLES OF FUNDED PROJECTS:** Reinforced barriers at either side of bridge approachments.

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 12.106 FLOOD CONTROL PROJECTS

### (Small Flood Control Projects)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 205, 1948 Flood Control Act; Public Law 80-858 as amended; 33 U.S.C. 701s; as amended by Public Law 93-251; as amended by Public Law 97-140.

**OBJECTIVES:** To reduce flood damages through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Corps of Engineers designs and constructs the project. Each project selected must be engineeringly feasible, complete within itself, and economically justified. Non-Federal sponsoring agency must be responsible for all lands and damages and project costs in excess of the Federal cost limit of $4,000,000; provide a cash contribution for land enhancement benefits and for project costs assigned to project features other than flood control; prevent future encroachment which might interfere with proper functioning of the project for flood control; and, maintain the project after completion. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for flood control projects specifically authorized by Congress under regular authorization procedures.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States, or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibility.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal authorization, financial ability, and willingness to provide necessary local participation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of a remedial project under this program. An environmental impact statement is also required.

**Application Procedure:** Formal letter to District Engineer indicating clear intent to provide all required local participation.

**Award Procedure:** The Chief of Engineers approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:** Not applicable.

**Records:** As necessary to show past project conditions and local actions.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3122-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $17,575,000; FY 82 est $19,500,000; and FY 83 est $18,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Projects at 22 locations were under construction in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 1105-2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWP-A, Washington, DC 20314. Telephone: (202) 272-0141.

**RELATED PROGRAMS:** 12.104, Flood Plain Management Services; 12.108, Snagging and Clearing for Flood Control.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.107 NAVIGATION PROJECTS

### (Small Navigation Projects)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 107 of 1960 River and Harbor Act, as amended; Public Law 86-645; 33 U.S.C. 577.

**OBJECTIVES:** To provide the most practicable and economic means of fulfilling the needs of general navigation, through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Corps of Engineers designs and constructs the project. Each project selected must be engineeringly feasible, complete within itself, and economically justified. The non-Federal sponsoring agency must agree to assume full responsibility for all project costs in excess of the Federal cost limit of $2,000,000; contribute toward project costs for construction and maintenance in view of recreational benefits, land enhancement benefits or other special local benefits; provide all necessary lands, easements, rights-of-way; hold and save the United States free from damages; and, provide adequate public landing or wharf, piers, access roads, parking areas and other needed public facilities open and available to all on equal terms. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for navigation projects specifically authorized by Congress under regular authorization procedures.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal authorization, financial capability, and willingness to provide all necessary local participation and required cooperation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental impact statement is also required.

**Application Procedure:** Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:** The Chief of Engineers approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3122-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $12,191,000; FY 82 est $12,800,000; and FY 83 est $12,500,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Projects at 24 locations were under construction in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulation 1105-2-10, App E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWP-A, Washington, DC 20314. Telephone: (202) 272-0141.

**RELATED PROGRAMS:** 12.109, Protection, Clearing and Straightening Channels.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.108 SNAGGING AND CLEARING FOR FLOOD CONTROL

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 2 of the 1937 Flood Control Act, as amended; Public Law 79-14, 33 U.S.C. 701g, as amended by Public Law 93-251.

**OBJECTIVES:** To reduce flood damages.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Corps of Engineers designs and constructs the project. Each project selected must be engineeringly feasible, complete within itself, and economically justified. The non-Federal sponsor must provide all lands, easements and rights-of-way; provide all project costs in excess of the Federal limit of $250,000; agree to maintain project after construction; hold and save the United States free from damages; provide a contribution toward construction costs for land enhancement or special benefits; agree to prevent future encroachment which might interfere with proper functioning of the project for flood control. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for flood control projects specifically authorized by Congress under regular authorization procedures.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal authorization, financial capability and willingness to provide all necessary local participation and required cooperation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental impact statement is also required.

**Application Procedure:** Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:** The Chief of Engineers approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:** Not applicable.

**Records:** As necessary to show past project conditions and local actions.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3122-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $378,856; FY 82 est $400,000; and FY 83 est $300,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Flood-control projects at 3 locations were under construction in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulations 1105-2-510 App.E (33 CFR 263) and information sheets regarding this program are available from nearest District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWP-A, Washington, DC 20314. Telephone: (202) 272-0141.

**RELATED PROGRAMS:** 12.102, Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation; 12.106, Flood Control Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.109 PROTECTION, CLEARING AND STRAIGHTENING CHANNELS

### (Emergency Dredging Projects)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 3 of the 1945 River and Harbor Act; Public Law 79-14; 33 U.S.C. 603a.

**OBJECTIVES:** To restore channels for purposes of navigation or flood control.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Each project selected must be engineeringly feasible, complete within itself, and economically justified. The non-Federal interest involved must provide all lands, easements and rights-of-way for construction of the project and bear the costs of necessary annual maintenance until such time as the location may become a part of a specifically authorized project. Local cost participation requirements and procedures for determining the local share of project costs are similar to those for navigation of flood control projects specifically authorized by Congress under regular authorization procedures. Annual expenditures limited to $300,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence of legal authorization, financial capability and willingness to provide all necessary local participation and required cooperation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State or local government officials should consult nearest District Engineer regarding problems and possibility of remedial action under this program.

**Application Procedure:** Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:** The Chief of Engineers makes final decision to approve or reject individual projects.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 96-3123-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $8,106; FY 82 est $200,000; and FY 83 est $116,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** One project was completed in fiscal year 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Engineer Regulations 1105-2-50 (33 CFR 263) and sheets describing this program are available from nearest District Engineer.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWO-M, Washington, DC 20314. Telephone: (202) 272-0242.

**RELATED PROGRAMS:** 12.107, Navigation Projects.

**EXAMPLES OF FUNDED PROJECTS:** Provided specialized services to applicants in Lake Ontario, Olcott Harbor, NY and; Calabash Creek, NC.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.110 PLANNING ASSISTANCE TO STATES

### (Section 22)

**FEDERAL AGENCY:** OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Section 22 of 1974 Water Resources Development Act; Public Law 93-251 as amended; 42 U.S.C. 1962d-16.

**OBJECTIVES:** To cooperate with any State in the preparation of comprehensive plans for the development, utilization and conservation of water and related land-use resources of drainage basins located within the boundaries of such State.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The State must have a planning program for the development, utilization or conservation of the water and related land resources underway or laid out in sufficient detail so that the relationship of a State's request for Corps input for some particular aspect of the program may be appraised. All Corps input must be an integral part of the State program. The input from the Corps is to be on an effort or service sharing basis in lieu of an outright grant basis. The program is limited to $4,000,000 annually except that not more than $200,000 shall be expended in any one year in any one State.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marianas, the Trust Territory of the Pacific Islands, the Commonwealth of Puerto Rico and the Virgin Islands. However, in the case of New York and Puerto Rico, specific legislative authorities have been previously provided, consistent with Section 22. Funding requests for New York and Puerto Rico can be submitted under either the previous authorities (Section 214, Public Law 89-298 for New York and Section 204, Public Law 91-611 for Puerto Rico) or Section 22, but not both in the same year.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must furnish evidence in sufficient detail so that the relationship of a State's request for Corps input for some particular aspect of the State program may be appraised. Governors (or their designated plan review agencies) must be given an opportuniy to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** State government officials should consult the nearest District Engineer regarding specific State water and related land resource problems.

**Application Procedure:** Requests are made in the form of a letter to the District Engineer documenting the need for assistance.

**Award Procedure:** The Office of the Chief of Engineers reviews and approves all requests and allocates funds to the appropriate Corps field office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Technical planning services are provided with Federal program funds.

**Length and Time Phasing of Assistance:** Funds are released from the Office of the Chief of Engineers in lump sum on an annual basis shortly after the start of the fiscal year. The length of the study is defined in the plan of study but is subject to some modification, depending on the availability of funds to each of the participating States. Federal assistance is provided as rapidly as possible depending on availability of funds and competent personnel resources.

POST ASSISTANCE REQUIREMENTS:

**Reports:** None.

**Audits:** None.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 96-3121-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $2,100,000; FY 82 est $2,624,000; and FY 83 est $2,300,000; (No funds provided in FY 82 or 83 under Section 214 specifically for New York State or under Section 204 specifically for Puerto Rico.)

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: Planning assistance was given to 46 States in fiscal year 1981.

REGULATIONS, GUIDELINES, AND LITERATURE: Engineering Regulation 1105-2-10, Chapter 6, available from the nearest District Engineer and Title 33, Part 265 "Planning Assistance to States" in the Federal Register dated 15 September 1975, revised 21 January 1977.

INFORMATION CONTACTS:

**Regional or Local Office:** See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:** Office of the Chief of Engineers, Attn: DAEN-CWP-F, Washington, DC 20314. Telephone: (202) 272-0169.

RELATED PROGRAMS: 10.906, River Basin Surveys and Investigations; 11.420, Coastal Zone Management Estuarine Sanctuaries; 65.001, Water Resources Planning.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 12.400 MILITARY CONSTRUCTION, ARMY NATIONAL GUARD

**FEDERAL AGENCY:** DEPARTMENT OF THE ARMY, NATIONAL GUARD BUREAU, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Public Laws 96-418 and 96-436; 10 U.S.C. 2231-2238.

**OBJECTIVES:** To provide a combat-ready reserve force and facilities for training and administering the Army National Guard units in the 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** For armories, to provide offices, storage, assembly area, rifle range and classrooms. For non-armories, to provide for maintenance, supply, training, and other administrative and logistical requirements.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The 50 States, District of Columbia, Commonwealth of Puerto Rico, and the territories. The State National Guard unit must be federally recognized. State must provide real estate for armory projects.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This program requires the submission of an environmental impact assessment.

**Application Procedure:** The State Adjutant General submits proposed projects to the headquarters office listed below.

**Award Procedure:** After Congress authorizes, approves, and appropriates funds for the project and the National Guard Bureau reviews and approves all necessary plans, specifications, bidding documents, contracts and other documentation, the award can be made. Notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** August 1, 1982.

**Range of Approval/Disapproval Time:** 2 to 3 months.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal funds provide 75 percent of construction costs for armories and 100 percent for non-armory facilities. State provides 25 percent of construction funds, all necessary real estate and 100 percent of operations and maintenance costs for armories. State must provide 25 percent to the operations and maintenance cost for the non-armory projects, except training facilities which are 100 percent Federal.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State must submit certified vouchers for each payment to the U.S. Property and Fiscal Officer of the State, for initial construction and subsequent maintenance.

**Audits:** Army Audit Agency, Defense Audit Service, and the General Accounting Office. No specific frequency.

**Records:** An inventory of program assets by each State.

**FINANCIAL INFORMATION:**

**Account Identification:** 21-2085-0-1-051.

**Obligations:** (Grants) FY 81 $14,748,530; FY 82 est $27,679,000; and FY 83 est $30,532,000.

**Range and Average of Financial Assistance:** $1,000 to $3,500,000; $300,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, construction contracts were awarded for 22 armories and 10 non-armory major projects. There are 20 armories and 20 non-armory major projects expected to be awarded during fiscal year 1981 and 23 armories and 36 non-armory projects are expected to be awarded in fiscal year 1982. The number of valid applications received in fiscal year 1980 was 32.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, Army Installations Division, National Guard Bureau, Pentagon, Washington, DC 20310. Telephone: (202) 697-1732.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Armory, Organizational Maintenance Shop, Army Aviation Support Facility, Mobilization and Training Equipment Sites.

**CRITERIA FOR SELECTING PROPOSALS:** The following is the criteria used to select a project for Federal support: (a) early deployment priority, (b) the total actual strength of the unit(s) assigned is greater than 75 percent of the total authorized strength of the unit(s) supported by the proposed project, (c) in the case of armory projects matching State funds and the necessary State land must be available and (d) the State Reserve Forces Facilities Board must have validated the project and recommended either unilateral of joint construction.

## 12.500 U.S. SOLDIERS' AND AIRMEN'S HOME

**FEDERAL AGENCY:** U.S. SOLDIERS' AND AIRMEN'S HOME, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** 24 U.S.C. 53. (Revised Statutes 4823).

**OBJECTIVES:** To provide a permanent residence for the relief and support of certain retired soldiers of the Regular Army and airmen of the Air Force.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Complete domiciliary and medical care.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Former warrant officers and enlisted personnel of the Regular Army and Air Force with the following qualifications: honest and faithful service for 20 years or more; or service-connected disability rendering them unable to earn a livelihood; or nonservice-connected disability rendering them unable to earn a livelihood, provided they had service during a war.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Honorable military discharge; retirement certification.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter to Secretary, Board of Commissioners.

**Award Procedure:** Letter from Secretary, Board of Commissioners.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 84-8931-0-7-705.

**Obligations:** (Salaries and expenses) FY 81 $22,151,000; FY 82 est $24,421,000; and FY 83 est $26,718,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Average membership of the Home: FY 81, 2,143: FY 82 est 2,235: and FY 83 est 2,235.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Informational pamphlet available, without charge, from Soldiers' and Airmen's Home.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Secretary, Board of Commissioners, U.S. Soldiers' and Airmen's Home, Washington, DC 20317. Telephone: (202) 722-3336.

**RELATED PROGRAMS:** 64.016, Veterans State Hospital Care; 64.115, Veterans Information and Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# OFFICE OF THE ASSISTANT SECRETARY (INSTALLATIONS AND LOGISTICS)

## 12.600 COMMUNITY ECONOMIC ADJUSTMENT

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY (MRA&L), DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Executive Order No. 12049 dated March 27, 1978, authorizes and directs the Secretary of Defense to establish an Economic Adjustment Program to help alleviate serious economic and social impacts that result from changes in Defense activities. The Executive Order designates the heads of 18 Federal Executive agencies as members of the Economic Adjustment Committee (EAC) with responsibility to support, to the extent permitted by law, the economic adjustment activities of the Secretary of Defense. The following agencies are members of the EAC: Departments of Agriculture; Commerce; Defense; Education; Energy; Health and Human Services; Housing and Urban Development; Interior; Labor; Transportation; and Justice; Office of Management and Budget; Council of Economic Advisers; Environmental Protection Agency; General Services Administration; Office of Personnel Management; Small Business Administration; and the U.S. Arms Control and Disarmament Agency.

**OBJECTIVES:** To help communities, regions and States resolve serious social and economic impacts that result from necessary Defense program changes, e.g., base closings, contract changes, personnel reductions and, in some instances, "growth impacts".

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Economic Adjustment assistance is tailored to meet the unique needs of each impacted community. A typical project involves assistance for assessment of the impact and evaluation of specific needs, the identification of alternative courses of development action, the identification of resource requirements and possible sources and the preparation of a development strategy and action plan. The resources of Federal agencies (technical expertise and assistance programs) are utilized to augment State, local and private-sector resources to develop and implement a consensus plan that is feasible of implementation. Federal agency participation is governed by local requirements and needs for assistance (e.g., DOEd assists on educational projects, DOT on transportation projects, etc.).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and political subdivisions, other public organizations, and responsible community leadership groups.

**Beneficiary Eligibility:** Communities and areas adversely affected economically by Defense realignments.

**Credentials/Documentation:** Documented evidence of significant economic impact resulting from Defense program changes.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** There is no application form. Application for assistance may be made by letter to the Secretary of Defense, Pentagon, Washington, DC 20301. The request should contain a report from the area labor market office detailing extent and gravity of Defense impact.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Assistance will continue until community economic adjustment has been accomplished. Assistance will commence as soon as possible after receipt of request for assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Communities must report to the Director, Office of Economic Adjustment, on January 1 and July 1 of each year, new or expanded job generation activities resulting from economic adjustment assistance.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 97-8010-0-1-051.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable

**PROGRAM ACCOMPLISHMENTS:** In communities that received major Economic Adjustment Committee (EAC) assistance, new jobs have been created to replace lost Defense jobs on a better than 1-to-1 ratio. Between 1970 and 1980, 125,000 new jobs were added in 86 communities where 124,000 jobs were lost as a result of Defense realignment actions. Economic adjustment employment gains have been achieved through the establishment of new manufacturing plants (742), civilian airports (27), vocational-technical schools (29), and local government activities (29). In helping impacted communities meet an immediate need for new jobs, the EAC has also facilitated the organization of community leaders for the development and pursuit of long-term economic objectives (e.g. local economic diversification and new educational facilities which strengthen future economic security). The coordinated federal assistance provided to communities affected by cutbacks has also been utilized to help alleviate the effects of large increases in military activity ("growth impacts").

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Economic Recovery, Community Response to Defense Decisions to Close Bases", no charge. "Communities in Transition - Community Response to Reduced Defense Activity", no charge. "Acquiring Former Military Bases", no charge. "Planning Civilian Reuse of Former Military Bases", no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Office of Economic Adjustment, OASD (MRA&L), Northeast Region : E-430 John F. Kennedy Building, Government Center, Boston, MA 02203, (617) 223-5026; Southeast Region: Suite 323, 1720 Peachtree Street, N.W., Atlanta, GA 30309, (404) 881-2413; Great Lakes Region; Room 3264, 230 South Dearborn Street, Chicago IL 60604 (312) 353-3052; Mid-West Region: Room 1906, Federal Building, 911 Walnut Street, Kansas City, MO 64106, (816) 374-3776; West Coast Region: 7500 Sand Pointway NE, Seattle, WA 98115, (206) 524-1845.

**Headquarters Office:** Director, Economic Adjustment, Office of the Assistant Secretary of Defense, (Manpower, Reserve Affairs and Logistics), Pentagon, Washington, DC 20301. Telephone: (202) 697-9155.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.307, Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration; 13.676, Surplus Property Utilization.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.606 SELECTED RESERVE EDUCATIONAL ASSISTANCE PROGRAM

## (EAP)

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY (MRA&L), DEPARTMENT OF DEFENSE

**AUTHORIZATION:** Public Law 95-79, Defense Authorizations Act, amended by Public Law 95-485, Public Law 96-107 and Public Law 96-342 Authorizations Acts, 10 U.S.C. 2131 - 2135.

**OBJECTIVES:** To stimulate enlistment of non-prior service individuals into the selected reserve.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Reimbursement for post-secondary educational expenses including tuition, fees, books and consumable supplies used in a laboratory or shop.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals who have never previously served in the Armed Forces of the United States who enlist in the selected reserve for a term of 6 years.

**Beneficiary Eligibility:** None.

**Credentials/Documentation:** Enlistment Contract (DD4/2) and standard written agreement for EAP.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Enlistment in the selected reserve of any component of the United States Armed Forces using form DD4/2 (Enlistment Contract) plus standard written agreement for EAP.

**Award Procedure:** Upon tender of receipt for covered educational expenses or billing statement from an educational institution.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Six years from date of initial enlistment. Reimbursement for expenses not to exceed $1,000 in any 12 month period nor total of $4,000.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Receipt for covered educational expenses.

**FINANCIAL INFORMATION:**

**Account Identification:** 21-2070-0-1-051; 17-1405-0-1-051; 57-3700-0-1-051; 21-2060-0-1-051; 57-3850-0-1-051; 17-1108-0-1-051.

**Obligations:** (Direct Payments) FY 81 $1,589,000; FY 82 est $6,415,000; and FY 83 est $11,688,000.

**Range and Average of Financial Assistance:** $4,000.

**PROGRAM ACCOMPLISHMENTS:** There were 7,671 assistance awards made from December 1, 1978 through September 30, 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 10 USC 2131 - 2135, DOD: ASD Memoranda dated June 6, 1979; December 10, 1979, October 31, 1979 and September 30, 1980. Subject: FY 79/80/81 Incentive Program for the Selected Reserve.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local Armed Forces Recruiters.

**Headquarters Office:** Deputy Assistant Secretary of Defense, Reserve Affairs, Office of the Assistant Secretary of Defense, (Manpower, Reserve Affairs and Logistics) Pentagon, Washington, DC 20301. Telephone: (202) 697-4334.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 12.700 DONATIONS/LOANS OF OBSOLETE DOD PROPERTY

**FEDERAL AGENCY:** SECRETARIES OF MILITARY DEPARTMENTS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:** 10 U.S.C. 2572; 10 U.S.C. 7308; 10 U.S.C. 7545.

**OBJECTIVES:** To donate or lend obsolete combat materiel, to veterans' organizations, soldiers' monument associations, State museums, incorporated museums, and incorporated municipalities.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** A donation or loan of books, manuscripts, works of art, drawings, plans, models, and other specified items to be used only for historical, ceremonial or display purposes. Determination of the item and quantity to be provided will be made by the individual Secretaries of the Military Departments. Each donee must certify that the property requested is for the donee's use and, when no longer required by the donee, disposition instruction will be requested from the original donating activity. If the item requires some demilitarization, pursuant to the Defense Demilitarization Manual (DOD 4160.21-M-1), these costs will be borne by the donee. Donees must not, without written consent of the Department of Navy, use vessels for purposes other than as stated in the application, or destroy, transfer or otherwise dispose of a vessel. Cost of packing and handling incident to donations will be paid by the donee before release of the property. Instructions regarding these actions are contained in the Defense Disposal Manual (DOD 4160.21-M), Chapter X, Paragraphs F and G, and Attachments 14 through 22.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Veterans organizations recognized by the Office of the Assistant Secretary of Defense (Public Affairs); museums operated and maintained for education purposes only and which are tax-exempt; and incorporated municipalities. The Department of the Navy donates or loans additional types of condemned or obsolete materiel and obsolete condemned or captured vessels to States, Territories, Commonwealths, or possessions of the United States, political subdivisions or municipal incorporations thereof, the District of Columbia, the Canal Zone, libraries, historical societies, educational institutions whose graduates or students fought in World War I or World War II, recognized veterans organizations and to nonprofit organizations operated and maintained for educational purposes only.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Veterans' organizations must obtain written approval for a donation or loan from Headquarters of their association and must submit a copy of the approval with their application. When material of possible historical interest is being donated, prior approval will be obtained from the appropriate military curator. With regard to vessels, the applicant must locate a vessel in a donable status before submitting an application.

**Application Procedure:** Application for donations or loans will be made to the Secretary of the Military Department which has control of the desired items in accordance with prescribed procedures. Donation of material under 10 U.S.C. 7308 and 10 U.S.C. 7545 requires referral to Congress.

**Award Procedure:** None.

**Deadlines:** Requests must be received before items are reported for sale or other scheduled disposal action.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** annual report of the location and condition of loaned or donated property.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** Not applicable.

**Obligations:** (Inventory value of DOD property donated) under referenced and related authorities, FY 81 $5,000,000; FY 82 est $5,000,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, the inventory value of property donated was $3,175,599.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Defense Disposal Manual (DOD 4160.21-M, Chapter X, paragraphs F and G and Attachments 14 through 22).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Nearest military installation for general information on the subject. Requests which cannot be handled at local level should be referred to the appropriate departmental headquarters.

**Headquarters Office:** Appropriate Military Department, Pentagon, Washington, DC 20301.

**RELATED PROGRAMS:** 13.676, Surplus Property Utilization; 39.003, Donation of Federal Surplus Personal Property; 39.007, Sale of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# DEPARTMENT OF HEALTH AND HUMAN SERVICES

## PUBLIC HEALTH SERVICE-I

### 13.103 FOOD AND DRUG ADMINISTRATION—RESEARCH

**FEDERAL AGENCY:** FOOD AND DRUG ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Public Law 78-410, as amended, Title III, Section 301(c); Radiation Control for Health Safety Act of 1968, Public Law 90-602; 42 U.S.C. 241 and 263.

**OBJECTIVES:** To assist profit making organizations, public and other nonprofit institutions, to establish, expand, and improve research activities concerned with poison control, drug hazards, human and veterinary drugs, medical devices and diagnostic products, biologics, and radiation emitting devices and materials.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** These grants are awarded to assist profit making organizations, public and other nonproit institutions to carry out studies to develop scientific information necessary for the prevention, rapid diagnosis, emergency treatment and treatment of the acute exposure to poisonous and toxic materials. To carry out investigations in the drug field related to the safety and effectiveness of drugs and in vitro diagnostic products, improve clinical evaluation techniques, animal models, adverse reactions, drug metabolism, food and drug interactions, bioavailability assessment on generic equivalency of drugs and analysis of patterns of use of drugs in clinical medicine. For studies dealing with animal toxicology, endocrinology, pharmacology, productivity and nutrition. To do studies dealing with safety aspects of medical devices and studies dealing with the reliability of such devices as affects safety. To carry out investigations of electromagnetic radiations (including ionizing, microwave, radio-frequency, ultraviolet, visible light and infrared), magnetic fields, infrasound, sound and ultrasound as they ultimately affect man.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Colleges, universities, profit making organizations, nonprofit institutions and State and local governments may apply for support of costs directly related to the research proposed performed under a grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The applicant completes NIH Form 398 and forwards completed application direct to Division of Research Grants, NIH, Public Health Service. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The application is reviewed by two review bodies and if it is deemed to have scientific merit, it is approved by them for funding, and will be ultimately funded if sufficient funds are available.

**Deadlines:** July 1, November 1 and March 1.

**Range of Approval/Disapproval Time:** 5 to 6 months.

**Appeals:** Not applicable except that the application may be reworked and resubmitted. The same deadlines are applicable as indicated above for new applications.

**Renewals:** Renewals are available. Procedures are identical to new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. After an award has been issued the grantee participates in a cost sharing arrangement on a project by project basis.

**Length and Time Phasing of Assistance:** Indefinite, depending on national advisory council approval or disapproval of renewal application. An applicant may request support for periods of from 1 to 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** If funded, reports of expenditures, progress reports, and invention statements are required at the end of each budget period and at the end of the project.

**Audits:** Financial audits may be made at any time by representatives of the Department of Health and Human Services.

**Records:** The financial records, including all documents to support entries on the accounting records and to substantiate charges to each grant, must be kept readily available for examination. All records must be maintained for 3 years after the end of each budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0600-0-1-554.

**Obligations:** (Grants) FY 81 $2,000,000; FY 82 est $3,000,000; and FY 83 est $3,000,000.

**Range and Average of Financial Assistance:** (Grants) $50,000 to $500,000; $125,000.

**PROGRAM ACCOMPLISHMENTS:** (Grants) In fiscal year 1981, 61 applications were received, and 21 grants and cooperative agreements were awarded for a total of $2,000,000. An estimate of 20 projects are to be funded in fiscal year 1982 for $3,000,000; and an estimate of 20 projects are to be funded in fiscal year 1983 for $3,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** DHHS Publication No. 77-50,000, entitled PHS Grants Policy Statement, FDA Extramural Research Programs Grants, Interagency Agreements, Public Law-480 Programs - Projects Supported July 1, 1975 - September 30,1976.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None for these grants. However, for general information concerning FDA activities, contact FDA district offices (see Appendix IV for listing).

**Headquarters Office:** Grants: Helen M. Crown, Chief, Grants and Assistance Agreements Section, SCAAB, DCGM, HFA-520, Room 12A27, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6170.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) Bioavailability of Oral Dosage Form; 2) Animal Nutrition; 3) Radiation Effects & Exposure Criteria; 4) Toxicity of PCB - 1254 in Breast Milk to Infant Monkeys; 5) Assessment of Clinical Utility: The OGC & UGI.

**CRITERIA FOR SELECTING PROPOSALS:** The review of applications is conducted by the Research Grants Review Branch of the National Institute of Health's Division of Research Grants. The first step in this dual-review process is the Study Section review. The application is assigned to the Study Section whose members have expertise in the area of the proposed research. The second and final step is the Council review. Each application must be reviewed and approved by a National Advisory Council or an equivalent group before a grant can be awarded. These Councils receive the Study Sections' recommendations and review the proposal against a rather broad background of responsibilities that include, in part, a determination of the needs of the agency, the total pattern of reseach in universities and other institutions, the need for the initiation of research in new areas, the degree of relevance of the proposed research to the mission of the agency, and other matters of policy.

## 13.108 HEALTH EDUCATION ASSISTANCE LOANS

## (HEAL)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act Title VII, Section 727; as amended, Public Law 97-35, 42 U.S.C. 294.

**OBJECTIVES:** To authorize loans for educational expenses available from eligible lenders such as banks, credit unions, savings and loan associations, pension funds, insurance companies and eligible educational institutions. Loans are made to advanced and graduate students enrolled at eligible health professions institutions and to post-graduate interns or residents (non-students) in accredited training programs. The loans are insured by the Federal Government.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** To help defray costs of education at an eligible health professions institution and for non-student borrowers, to meet accrued interest expense on prior loans. Repayment begins 9 months after students cease to carry a full-time academic workload or cease to be a participant in an accredited internship or residency program. Deferment of principal and interest payments may be granted during certain periods. At the option of the Federal Government, borrower may enter into a contract to repay the loan through service in the National Health Service Corps or private practice in health manpower shortage areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Generally, any U.S. citizen, National, or person in the United States for other than a temporary purpose, who is enrolled on a full-time basis at an eligible health professions school may apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The student will need certification of school enrollment, and a completed appropriate application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Information regarding appplication procedures may be obtained from health professions schools and the Department of Health and Human Services.

**Application Procedure:** The educational institution must certify that the student is enrolled and is in good standing. The application with the certification is submitted to the lender.

**Award Procedure:** If the lender agrees, and all regulations are followed in making the loans, an insurance commitment is received from the Federal government. The lender disburses proceeds of loans to applicant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies.

**Appeals:** Not applicable.

**Renewals:** Individual lenders may establish a "line of credit" to provide for subsequent annual loans necessary to complete educational goals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Student may apply for a loan for any year of advanced study at an eligible health professions school (pharmacy students must have completed 3 years of training). To cover interest costs, non-students may apply for loans during internship or residency, or during a period of deferment. Repayment to be made over 10 to 25 years beginning 9 months after student leaves school or ceases to be a participant in an internship or residency program. Entire period from date of original loan not to exceed 33 years (excluding periods of authorized deferment). Under the Act, authorization expires September 30, 1984, authorization for loans to previous borrowers to complete education expires September 30, 1987.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Operational reports required for specific purposes.

**Audits:** Lenders and schools are subject to audit by HHS (schools not less than once every 2 years).

**Records:** Lenders must maintain records to support and identify loan transactions. Schools must maintain administrative and fiscal records.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-4305-0-3-553.

**Obligations:** (Insured Loans) FY 81 $48,000,000; FY 82 est $80,000,000; and FY 83 est $80,000,000.

**Range and Average of Financial Assistance:** For Medicine, Osteopathy Dentistry, Veterinary Medicine Optometry and Podiatry Aggregate Loans not to exceed $80,000; maximum annual loan limit $20,000. For Pharmacy, Public Health, Chiropractic, Clinical, Psychology and graduate Health Administration, Aggregate Loans not to exceed $50,000; maximum annual loan limits, $12,500.

**PROGRAM ACCOMPLISHMENTS:** Program was implemented during the 1978-1979 school year. The number of loans estimated to be disbursed during fiscal year 1982, is 8,000 at an average of $10,000 per loan. In fiscal year 1983, it is estimated that 8,000 loans will be disbursed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations published August 3, 1978, as amended; manual for lenders and schools.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Service, Bureau of Health Personnel Development and Services, Health Services Administration, Public Health Service, Department of Health and Human Service, Center Building, Rm. 9-50, 3700 East-West Highway, Hyattsville, MD. 20782, Contact: Michael Heninburg, telephone: (301) 436-7430.

**RELATED PROGRAMS:** 13.288, National Health Service Corps Scholarship Program; 13.342, Health Professions—Student Loans; 64.111, Veterans Educational Assistance; 84.032, Higher Education Act Insured Loans; 84.033, College Work-Study Program; 84.038, National Defense/Direct Student Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.110 MATERNAL AND CHILD HEALTH FEDERAL CONSOLIDATED PROGRAMS

### Special Projects of Regional and National Significance (SPRANS)

**FEDERAL AGENCY:** BUREAU OF COMMUNITY HEALTH SERVICES, HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title V, Social Security Act, Section 502(a)(1); 42 U.S.C. 702.

**OBJECTIVES:** To carry out special projects of regional and national significance, training, and research; genetic disease testing, counseling, and information development and dissemination programs; and comprehensive hemophilia diagnostic and treatment centers.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Training grants are made to institutions of higher learning for training personnel for health care and related services for mothers and children. Research grants are for purposes of research activities related to Maternal and Child Health or Crippled Children's Programs (both elements of 13.994, Maternal and Child Health Services Block Grant) which show promise of a substantial contribution to the advancement of service programs. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Special Project Grants are designed to support activities of a demonstration nature which pertain to Maternal and Child Health and Crippled Children's service programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Training grants may be made to public or nonprofit private institutions of higher learning. Research grants may be made to public or nonprofit institutions of higher learning and public or nonprofit private agencies and organizations engaged in research or in Maternal and Child Health or Crippled Children's programs. Public or private nonprofit agencies, organizations and institutions are eligible for hemophilia and genetics grants and Special Projects Grants of regional and national significance.

**Beneficiary Eligibility:** For training grants: 1) trainees in the health professions; and 2) mothers and children who receive services through training programs. For research grants: same as applicant eligibility. For hemophilia, genetics and special projects: 1) public or private nonprofit agencies, organizations and institutions; and 2) mothers and children who receive services through the programs.

**Credentials/Documentation:** Proof of nonprofit status is required. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiries regarding the program and intent to submit an application should be directed to the headquarters office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application procedures differ by subprogram category and may be obtained from the Federal Agency. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Project applications are reviewed by members of the staff of the Federal Agency and by a non-governmental review committee of experts. Applications are reviewed for merit and are then recommended for approval or disapproval. Final decisions regarding approval are made by the Associate Bureau Director of the Office for Maternal and Child Health. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** February 19 through June 11, depending upon the specific program.

**Range of Approval/Disapproval Time:** Four months.

**Appeals:** Applicant may reapply for support if revised applications are submitted.

**Renewals:** After initial award, projects may be renewed annually depending on submission and approval of a satisfactory application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Awards are made on an annual basis. The award will normally be in one lump sum for the entire grant period and payments made through a Letter-of-Credit or Cash Demand System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual program reports, annual expenditure reports, annual program service reports and special reports as required.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically and effectively.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers or other records of a grantee, sub-grantee, contractor or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $0; FY 82 est $52,128,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** $50,000 to $1,000,000; $230,000.

**PROGRAM ACCOMPLISHMENTS:** A total of 399 projects were funded in FY 1981. A wide variety of services were provided to thousands of mothers and children, including counseling, diagnostic, therapeutic, and other secondary and tertiary level services.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Pertinent information may be obtained by contacting the Headquarters Offfice indicated below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office for Maternal and Child Health, Health Services Administration, Department of Health and Human Services, Room 7-39, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 443-2170 (Use same 7-digit number for FTS). Contact: Vince L. Hutchins, M.D.

**RELATED PROGRAMS:** 13.994, Maternal and Child Health Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:** 1) Health Professional Training Projects; 2) Schools of Public Health; 3) Maternal and Child Health Research; 4) Genetic Screening, Testing and Counseling; and 5) Hemophilia diagnosis and treatment centers.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria are published annually in the Federal Register.

## 13.111 ADOLESCENT FAMILY LIFE RESEARCH GRANTS

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** The Public Health Service Act, Title XX; 42 U.S.C., 300z et seq.

**OBJECTIVES:** To encourage and support research projects and demonstration projects concerning the societal causes and consequences of adolescent premarital sexual relations, contraceptive use, pregnancy and childbearing. To determine ways to alleviate, eliminate or resolve negative consequences of sexual relations or childbearing for parents, children and families.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may include funds for direct costs (such as personnel, travel, equipment, supplies, etc.) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, as well as those for which prior approval is required, are indicated in the PHS Grants Policy Statement. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments; public or private organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; all other applicants in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** There are no requirements for coordination. A preapplication form is not required.

**Application Procedure:** Application for Research Grant, Form PHS 398, should be submitted. State or local government agencies should use appropriately: Preapplication for Federal Assistance, Form PHS 5159, Federal Assistance Application for Nonconstruction Programs, Form PHS 5161, and Application for Federal Assistance--Short Form, PHS 5163. Applications are reviewed and evaluated by a group composed primarily of non-Federal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** After considering the recommendation of the review group, the Director, Office of Adolescent Pregnancy Programs makes the final decision on the funding of approved applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:** Deadline dates will be announced annually in the Federal Register. For additional information, contact the Office of Adolescent Pregnancy Programs at the address cited under "Information Contacts".

**Range of Approval/Disapproval Time:** Three to four months.

**Appeals:** None.

**Renewals:** Projects may be approved for a maximum of 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There are no matching requirements for grants; however, grantees are required to share to some extent in the total costs of the project.

**Length and Time Phasing of Assistance:** Grants may not exceed five (5) years. Payments will be made either on a monthly cash request basis or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued at the time an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grantees must submit annual and final progress reports. Expenditure reports are required 90 days after the end of each budget period. Inventions are to be reported immediately.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. An audit by an independent accountant is required at least every 2 years.

**Records:** All project accounting, financial and program records must be retained for the periods specified in 45 CFR 74.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1101-0-1-550.

**Obligations:** (Grants) FY 81 $0; FY 82 est $1,200,000; and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** $10,000 to $100,000 direct costs; $40,000.

**PROGRAM ACCOMPLISHMENTS:** New program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program guidance was provided in the program announcement published in the Federal Register, Vol. 47, No. 40, Monday, March 1, 1982, pages 8685 - 8688.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Headquarters Office contact below.

**Headquarters Office:** Office of Adolescent Pregnancy Programs, Office of the Assistance Secretary for Health, DHHS, Room 725-H, 200 Independance Ave., S.W., Washington, DC 20201. Telephone: (202) 472-9093.

**RELATED PROGRAMS:** 13.995, Adolescent Family Life Demonstration Projects.

**EXAMPLES OF FUNDED PROJECTS:** New program.

**CRITERIA FOR SELECTING PROPOSALS:** See 42, CFR 52h.8.

## 13.217 FAMILY PLANNING PROJECTS
## (Umbrella Councils)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act as amended, Public Law 95-613, Title X, Section 1001, 42 U.S.C. 300.

**OBJECTIVES:** To provide educational, counseling, comprehensive medical and social services necessary to enable individuals to freely determine the number and spacing of their children, and by so doing helping to reduce maternal and infant mortality thereby promoting the health of mothers and children.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used for contraceptive services, infertility services and special services to adolescents. Contraceptive services includes information on all medically approved methods of contraception including natural family planning methods; counseling services, physical examinations including cancer detection and laboratory tests; contraceptive supplies, and periodic follow-up examinations. Infertility services includes diagnostic and appropriate workup, information, education and counseling and arrangements for referral if necessary. Special services to adolescents or other restrictions. Special services to adolescents include indepth information, education counseling, and referral to and from other social and medical service agencies, and such ancillary services as are necessary to facilitate clinic attendance for adolescents who need contraceptive services. These services must be available without coercion and with respect for the privacy, dignity, social and religious beliefs of the individuals being served. Funds may not be used for purchase or construction of buildings; salaries of personnel paid from other Federal grant funds; and certain other miscellaneous items as specified in the regulations. Priority in the provision of services will be given to persons from low-income families. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any city, county, and state governments or nonprofit private entity located in a State, (the District of Columbia, Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands), is eligible to apply for a grant.

**Beneficiary Eligibility:** Persons who desire family planning services and who would not otherwise have access to them. Priority to be given to persons from low-income families and adolescents. Individuals from other than low-income families will be charged a fee in accordance with an established fee schedule although inability to pay must not be a deterrent to services.

**Credentials/Documentation:** A nonprofit private agency, institution, or organization must provide evidence of its nonprofit status. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For others, costs will be determined in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants must secure a certification of DHHS Model Cities Relatedness from the local City Demonstration Agency (CDA) Director for projects with a significant impact in the model neighborhood area of model cities. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by applicants which are State or local government agencies. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). In accordance with section 15-13(e) of the Public Health Service Act, these projects are subject to HSA review.

**Application Procedure:** Completed Form PHS-5194 application for Health Services Project Grant, prepared fully documenting the need for the grant and the proposed amount of the grant. The Regional Health Administrator has approval authority for the program. Contact should be made with the appropriate Regional Health Administrator (see name/address in Appendix IV) to obtain the Application Kit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Following approval by the Regional Health Administrator, the Regional Grants Management Office prepares a Notice of Grant Award, secures necessary clearances and approval signatures, issues the Notice of Grant Award, enters the approved award in the grant payment process, and provides notification of grant approval to the public as well as the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As specified by the regional offices.

**Range of Approval/Disapproval Time:** 90 to 270 days.

**Appeals:** There are no appeal procedures as such. Applicants may rework applications through consultations with Headquarters and Regional Office staff.

**Renewals:** Projects are renewed yearly based on the submission of a progress report and evidence that the project plan is being carried out.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount of any award under Title X shall be determined on the basis of the estimate necessary for project performance, provided however, that the Federal support or grant for a Family Planning Services Project may not equal 100 percent of the total cost of the project. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Usually 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual expenditure and progress reports. All projects must comply with the requirements of the Bureau's common reporting requirements. Special reports as requested.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $153,000,000; FY 82 $118,611,520; and FY 83 est $0. (Note: This program is proposed for consolidation into the Primary Care Block Grant in FY 83.)

**Range and Average of Financial Assistance:** $20,000 to over $1,000,000; $250,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,800,000 people were served. It is projected that approximately 3,280,000 persons will be served in fiscal year 1982. In fiscal year 1981, 221 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 59. PHS Grants Policy Statement, DHHS Publication No. (OS) 77-50,000-July 1, 1974.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator, DHHS Regional Offices (See Address Appendix IV).

**Headquarters Office:** Associate Bureau Director for Family Planning Services, BCHS, Health Services Administration DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2430 (Use same 7-digit number for FTS). Contact: James Purvis.

**RELATED PROGRAMS:** 13.224, Community Health Centers; 13.246, Migrant Health Centers Grants; 13.260, Family Planning Services.

**EXAMPLES OF FUNDED PROJECTS:** Family Planning Projects.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals will be evaluated against the funding criteria which include: 1) compliance with regulations and guidelines; 2) demonstrated capability to carry out a program; 3) priority needs of the service area; and 4) reasonable cost for provision of services.

## 13.224 COMMUNITY HEALTH CENTERS

### (Public Health Service Act, Section 330)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Section 330, Public Health Service Act; As amended by Public Law 97-35, Omnibus Budget Reconciliation Act of 1981; Public Law 95-626, as amended by Title I; Public Law 95-83, as amended by Title V; Public Law 94-63; 42 U.S.C. 254C; (Previously, Public Health Service Act, Title III, Section 314(e); as amended by Section 3 of the Comprehensive Health Planning and PHS Amendments of 1966; Public Law 89-749; Section 2 of the Partnership for Health Amendments of 1967; Public Law 90-174; and Title II of the 1970 Amendments to PHS Act; Public Law 91-515).

**OBJECTIVES:** To support the development and operation of community health centers which provide primary health services, supplemental health services and environmental health services to medically underserved populations. In fiscal year 1982, priorities will be focused on capacity building in medically underserved areas and maintenance of existing centers which are serving high priority populations and have demonstrated sound fiscal and management capabilities, monitoring and assessment of project performance, development and implementation of mechanisms for improving quality of care, and maximizing third party reimbursement levels, through improved project administration and management.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Proposals designed to improve the availability, accessibility and organization of health care within medically underserved communities. Services should be consistent with plans of local Health System Agencies and the State Health Planning and Resources Development agencies. Funds may be used for acquiring and modernizing existing buildings including the costs of amortizing the principal of and paying the interest on loans. Special purpose equipment in excess of $1,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, any public or nonprofit private agency, institution, or organization. Profit making organizations are not eligible.

**Beneficiary Eligibility:** Population groups in medically underserved areas.

**Credentials/Documentation:** Nonprofit status. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For others, costs will be determined in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Necessary coordination varies; Contact the HHS regional offices for details. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by State and local government applicants. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). In accordance with Section 15-13(e) of the Public Health Service Act, these projects are subject to HSA review.

**Application Procedure:** In 1982, it is anticipated that no applications for new projects will be accepted and only ongoing projects will be given continuation funding. Application forms are available from the Regional Offices. (See Address Appendix IV for a list of regional offices.) State and local governments must prepare a

Form HHS 5161, Application for Federal Assistance (Nonconstruction), fully documenting the need for the grant and the proposed amount for the project. Other non-profit organizations must complete Form PHS-5194, Grant Application for Health Services, documenting the need for and the proposed amount of the grant. The Regional Health Administrator has approval authority for the programs. Applications must be given to health systems agencies and other designated organizations for review and approval. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** After approval by the Regional Health Administrator, the regional grants management office prepares a notice of award, secures necessary clearances and approval signatures, issues the award, and enters the approved award in the grant payment process. Provides notification of the grant approval to the public. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. On October 1, 1982, States have the option of approving management of the CHC program, projects funded in 1982 woluld be continued in 1983 but applications would be made to the State.

**Deadlines:** None. Applications may be submitted at any time during the year.

**Range of Approval/Disapproval Time:** 45 to 90 days.

**Appeals:** None.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Applicant must assume part of the project costs determined on a case-by-case basis.

**Length and Time Phasing of Assistance:** The initial period of support may be up to 5 years. The project may be renewed for additional years of support based on its progress and the need for additional Federal support.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State and local governments must submit an expenditure report 90 days after the end of each budget period. Other non-profit organizations are required to submit an expenditure report 60 days after each budget period. Basic data, cost accounting, and reporting or monitoring systems will be compatible with federally established national reporting requirements for health services delivery projects.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made as Part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subgrant D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $323,674,000; FY 82 est $246,337,000; and FY 83 est $0. (Note: Legislation has been enacted to administer this program under the Primary Health Care Block Grant authority in FY 83).

**Range and Average of Financial Assistance:** $25,000 to $4,000,000; $1,203,731.

**PROGRAM ACCOMPLISHMENTS:** The main thrust of Section 330 has been in support of Community Health Centers (CHC) in urban and rural medically underserved areas. These Centers offered a wide range of comprehensive ambulatory care services to 3,751,500 persons. In fiscal year 1981, 872 Community Health Centers provided the capacity to deliver primary care services to 5 million. No new applications are expected to be funded in 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Grants Policy Statement, DHHS Publication No. (OS) 76-50,000 October 1, 1976. (Revised)

**INFORMATION CONTACTS:**

**Regional or Local Office:** Each Regional Health Administrator of the HHS regional offices is responsible for the administration of this program. (See Address Appendix IV of the Catalog for a list of regional offices.)

**Headquarters Office:** Associate Bureau Director for Community Health Centers, Bureau of Community Health Service, Room 7A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2260. (Use same 7-digit number for FTS). Contact: Mr. Richard C. Bohrer.

**RELATED PROGRAMS:** 13.110, Maternal and Child Health Federal Consolidated Programs; 13.217, Family Planning Projects; 13.226, Health Services Research and Development-Grants; 13.228, Indian Health Services-Health Management Development Program; 13.246, Migrant Health Centers Grants; 13.294, Health Planning—Health Systems Agencies; 13.965, Coal Miners Respiratory Impairment Treatment Clinics and Services.

**EXAMPLES OF FUNDED PROJECTS:** A neighborhood health center, a health plan network, and a neighborhood health program.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Relative merit of grant proposals as measured against the Bureau's funding criteria; 2) specific program guidelines; 3) regional priorities and needs; 4) service to high priority population; 5) demonstrated sound fiscal and management capabilities, 6) and past management performance of the applicant.

## 13.226 HEALTH SERVICES RESEARCH AND DEVELOPMENT—GRANTS

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, as amended, Section 304; Public Law 90-174; also as amended Sections 304, 305, 307 and 308; Health Services Research, Health Statistics, and Medical Libraries Act of 1974, Public Law 93-353; also amended by the Health Services Research, Health Statistics, and Health Care Technology Act of 1978, Public Law 95-623; and amended Section 1205; Public Law 93-154, the Emergency Medical Services Systems Act of 1973; and EMS Amendments, Public Law 94-573 and Public Law 96-142; 42 U.S.C. 242 (c).

**OBJECTIVES:** To support research, development, demonstration and evaluation activities designed to ensure that comprehensive and systematic efforts are made to develop new options for health services delivery and health policy, to test the assumptions on which current policies and delivery practices are based, and to develop the means for monitoring the performance of the health care system. Also to support research for the development of valid and useful information to communities which are implementing Emergency Medical Services Systems (EMS). As part of its broad legislative mandate, the NCHSR supports research studies in the following categories of concern: Health Promotion and Disease Prevention; Service Delivery for the Disadvantaged; Health Care Costs and Expenditures; Health Insurance; Health Manpower; Planning and Regulation; Technology and Computer Science Applications; Quality of Care; Emergency Medical Services; Long-Term Care; and Special Studies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may include funds for direct costs (such as personnel, travel, equipment, supplies, etc.) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, as well as those for which prior written approval is required, are indicated in the grants policy statement. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, counties, cities, towns, political subdivisions, universities, colleges, hospitals, U.S. Territories, Native Americans and other public or nonprofit private agencies, institutions, or organizations. Research project grants may also be awarded to individuals. Profitmaking organizations are not eligible for grants.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** There are no requirements for coordination. Informal, preapplication consultation to prospective applicants is available upon request. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. A preapplication form is not required.

**Application Procedure:** Application for Research Grant, Form PHS 398, should be submitted. State or local government agencies should use appropriately: Preapplication for Federal Assistance, Form PHS 5159, Federal Assistance Application for Nonconstruction Programs, Form PHS 5161, and Application for Federal Assistance--Short Form, PHS 5163. Applications are reviewed and evaluated by a group composed primarily of non-Federal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The National Center for Health Services Research (NCHSR) makes final decisions to support approved applications. When such decisions are made, applicants are notified directly by NCHSR staff and all required steps are taken to issue the Notice of Grant Award, Form PHS-1533.

**Deadlines:** New grants-July 1 and November 1; Renewals and supplementals-October 1.

**Range of Approval/Disapproval Time:** 6 to 9 months from receipt of application.

**Appeals:** None.

**Renewals:** If additional support is desired to continue a project beyond the approved project period, an application for renewal must be submitted for review in the same manner as a new application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. There are no matching requirements for grants; however, grantees are required to share to some extent in the total costs of the project. The minimum cost sharing is 1 percent.

**Length and Time Phasing of Assistance:** Grants may be approved for project periods up to 5 years. Awards are made on an annual basis and it is expected that expenditures will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with HHS, which may be a Letter of Credit System or a Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of expenditures and interim progress reports are required on an annual basis. Inventions are to be reported immediately. A terminal progress report and a final expenditures report must be sumbitted within 90 days after the end of a project.

**Audits:** Grants are subject to inspection and audit by representatives of HHS to determine that there is a proper accounting and use of funds. The timing and frequency of audits is at the discretion of the HHS auditors. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, including all documents to substantiate charges must be maintained. Records may be destroyed 3 years after end of budget period if audit occurs by that time; if audit has not occurred, records must be retained until 3 years following end of budget period, or until audit and resolution of audit findings.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1101-0-1-550.

**Obligations:** (Grants) FY 81 $13,812,832 (including EMS $2,180,268 - Section 1205); FY 82 $6,024,900; and FY 83 est $7,500,000.

**Range and Average of Financial Assistance:** $1,585 to $546,500; $75,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, $13,812,832 in grants were awarded to universities, hospitals, nonprofit private agencies, State agencies, local government agencies and individuals to conduct health services research and demonstration projects. This also included $2,180,268 in grants awarded under Section 1205 authority to conduct Emergency Medical Services projects. During fiscal year 1981, 250 grant applications were reviewed and of this number 123 grants were awarded. In fiscal year 1982, it is estimated that similar organizations and individuals will be awarded $6,024,900 in grants for support of extramural health services research and demonstration projects. In fiscal year 1983, it is estimated that $7,500,000 in grants will be available for support of extramural health services research.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR, Part 67, Regulations for Grants for Health Services Research, Evaluation, and Demonstration Projects; Public Health Service Grants Policy Statement," DHHS No. (OS) 77-50,000, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Center for Health Services Research, Office of Health Research, Statistics, and Technology, Public Health Service, Department of Health and Human Services, Center Building, 3700 East-West Highway, Hyattsville, MD 20782. Contact: Ralph Sloat, Grants Management Officer. Telephone: (301) 436-6184 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.224, Community Health Centers.

**EXAMPLES OF FUNDED PROJECTS:** (1) To develop typologies and models of self-care and analyze secondary data containing questions relevant to self-care. (2) To test the validity and utility of a mathematical model to predict a specific heart disease in individual patients in several hospitals in an effort to reduce inappropriate admissions to coronary care units. (3) To examine effects of State and Federal legislation intended to reduce prescription drug costs through measurements of substitution of lower-priced generically equivalent drugs for prescribed brand name drugs. (4) To determine how the cost of specified survey procedures can be reduced without unduly compromising the quality of the data obtained. (5) To evaluate a medical record for ambulatory care in which information is summarized, prioritized, and individualized for physician and patient.

**CRITERIA FOR SELECTING PROPOSALS:** The proposals must first be reviewed by panels of peers and recommended for approval on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Those approved proposals which are most relevant to the identified program priority issues of the NCHSR are funded to the extent that funds are available.

## 13.228 INDIAN HEALTH SERVICES—HEALTH MANAGEMENT DEVELOPMENT PROGRAM

### (Indian Health)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Act transferring responsibility for health services to Indians from Bureau of Indian Affairs (Interior) to Public Health Service; Public Law 83-568; 42 U.S.C. 2001-2004a; Indian Self-Determination Educational Assistance Act; Public Law 93-638, Section 104(b) approved January 4, 1975 (25 U.S.C. 450).

**OBJECTIVES:** To raise to the highest possible level the health of American Indians and Alaska Natives by providing a full range of curative, preventive and rehabilitative health services. To build the capabilility of the American Indian and Alaska Native to manage their health programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The assistance is used for the purpose of building the tribes' capability to man and manage their health program. This assistance is only available to federally recognized tribes and tribal organizations. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federally recognized tribes and tribal organizations.

**Beneficiary Eligibility:** Generally, individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership of restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:** None for direct services. Provisions of grants under Public Law 93-638 require tribal endorsement in the form of a Resolution to sanction tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments (and Circular No. A-122 for Nonprofit Organizations) as implemented through program regulations 42 part 36 and applicable grant administration regulations 45 CFR 74 as referenced in 42 Part 36.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An applicant under Public Law 93-638 seeking to serve more than one tribe must have approval of each tribe involved. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications under Public Law 93-638 to man and manage health services and facilities may be submitted to respective IHS area office.

**Award Procedure:** Grants are awarded on a limited competitive basis and are processed through the area offices with final approval by headquarters.

**Deadlines:** For Public Law 93-638 grants (applications must be submitted 90 days prior to the proposed project start date.) Specific grant projects may have deadlines imposed.

**Range of Approval/Disapproval Time:** 90 days. Grants are approved/disapproved within ninety (90) days from receipt of application/proposal in the IHS area office.

**Appeals:** Grant appeals will follow PHS appeals procedures: 42 CFR 50, Subpart D and DHHS appeals procedures: 45 CFR Part 16.

**Renewals:** Grants renewal up to 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Public Law 93-638, grants are subject to Regulations in November 14, 1975, Federal Register, Vol. 40, No. 221; 42 CFR 36.100ff for grants, and administrative requirements under 45 CFR 74 for grants.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance wth 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0390-0-1-551.

**Obligations:** (Grants) FY 81 $15,843,721; FY 82 est $16,000,000; and FY 83 est $16,000,000.

**Range and Average of Financial Assistance:** Average projects are $80,000; highest $1,000,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 120 projects were awarded; estimate for 1982 is 100.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 36; 45 CFR Part 74 as referenced therein, PHS Grants Administration Manual, PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for Indian Health Service Area Offices.

**Headquarters Office:** Contracts and Grants Management Branch, Indian Health Service, Health Services Administration, Public Health Service, DHHS, 5600 Fishers Lane, Rockville, MD 20852. Telephone: (301) 443-5204 (Use same 7-digit number for FTS). Contact: Kay Carpentier, or Mr. Danielson, Telephone: (301) 443-1093.

**RELATED PROGRAMS:** 13.224, Community Health Centers.

**EXAMPLES OF FUNDED PROJECTS:** Development of a Health and Social Services Department, A Health Care Improvement Plan, Emergency Medical Training and Instruction Program, Feasibility study and Comprehensive Health Plan, A Planning Project for Indian Mental Health, Navajo Geriatric Project.

**CRITERIA FOR SELECTING PROPOSALS:** 1) The apparent capability of the applicant to organize and manage the proposal project successfully considering, among other things the adequacy of staff, management systems, equipment and facilities; 2) The soundness of the applicant's plan for conducting the project and for assuring effective utilization of grant funds; 3) The adequacy of the budget in relation to the scope of the project and available funds, and 4) The relative effectiveness of the applicant's plan, as set forth in the application, to carry out each of the requirements 36.105.

## 13.242 MENTAL HEALTH RESEARCH GRANTS

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Sections 301 and 303(a)(2); Public Law 78-410 as amended; 42 U.S.C. 241, 242a.

**OBJECTIVES:** To increase knowledge and improve research methods on mental and behavioral disorders; to generate information regarding basic biological and behavioral disorders; to generate information regarding basic biological and behavioral processes underlying these disorders and the maintenance of mental health; and to improve mental health services. Research supported by the Institute may employ theoretical, laboratory, clinical, methodological and field studies, any of which may involve clinical, subclinical and normal subjects and populations of all age ranges, as well as animal models appropriate to the system being investigated and the state of the field. Areas eligible for support are: neurosciences, behavioral sciences, epidemiology, clinical assessment and etiological studies, treatment, prevention and services research. One of the research grant programs, "Small Grants," provides support to develop and test new techniques or methods, to exploit an unexpected research opportunity, to analyze collected data or to carry out exploratory studies.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Research grants provide support for: (a) clearly defined projects or a small group of related research activities, and when appropriate, support of research conferences; (b) large-scale, broad-based programs of research, usually interdisciplinary consisting of several projects with a common focus; (c) small-scale exploratory and pilot studies or exploration of an unusual research opportunity (Small Grants); and (d) research development in areas lacking in adequate research activity and in which NIMH has a direct interest. Particular areas of research focus include neurosciences, behavioral sciences, epidemiologic, clinical (assessment and etiological) treatment, prevention and services research. Funds may be used only for expenses directly related to the approved research project. Small grants are limited to $10,000 direct costs for a period of one year or less. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Investigators affiliated with public or for-profit and nonprofit private agencies including State and local government agencies, and eligible Federal agencies, universities, colleges, hospitals, academic or research institutions and other organizations may apply for research grants. Small grants are primarily intended for the newer, less experienced investigator and others who do not have regular research support or resources available from their institution.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the National Institute of Mental Health is not mandatory, but is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 (PHS 5161-1) must be used for applicants that are State and local governments.

**Application Procedure:** Application kits, containing the necessary form (PHS 5161-1) PHS 398 and instructions, if not available at applicant institution, may be obtained from Grants Management Branch, National Institute of Mental Health. Consultation on a proposed project may be obtained from the NIMH branch or center responsible for the research area of interest. Applications are reviewed by nonfederal consultants recruited nationwide from the mental health field. The amounts of the award and period of support are determined on the basis of merit of the project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research grants and cooperative agreements in support of projects recommended for approval by the National Advisory Mental Health Council and approved for payment are awarded directly by the NIMH to the applicant institution.

**Deadlines:** July 1 and November 1. Small Grant applications may be submitted at any time, however, applications for summer support must be received by December 1 (for June starting dates) and by February 1 (for July and August starting dates).

**Range of Approval/Disapproval Time:** 240 to 270 days from submission of application.

**Appeals:** Applicant may revise and resubmit application.

**Renewals:** Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a new competing request. Small grants are not renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None, but grantees must share some costs. Provisions of HHS's appropriation provide that funds may not be used to pay any recipient of a research grant an amount equal to the entire cost of the project.

**Length and Time Phasing of Assistance:** Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small Grant support is limited to 1 year and is not renewable. Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual report of expenditures within 90 days after termination of annual grant. In addition, immediate and full reporting of any inventions is required.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions". These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $97,510,000; FY 82 est $86,240,000; and FY 83 est $89,140,000.

**Range and Average of Financial Assistance:** $1,434 to $388,917; $49,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, NIMH received 2,333 applications. NIMH funded 969 grants during fiscal year 1981, and estimates 733 grants will be funded in fiscal year 1982 and 714 in fiscal year 1983. In fiscal year 1981, awards were as follows: Epidemiology, 42; Small Grants, 112; Crime and Delinquency, 33; Minority Group, 33; Work and Mental Health, 28; Services Development, 52; and Rape, 15; Aging, 35; Behavioral Sciences, 170; Clinical Research, 136; Applied Research, 73; Psycopharmacology, 180; Prevention, 39; Community Support Demonstration Projects, 21. Social Research programs are expected to be phased out in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR, Part 52. Research Support Programs Announcement, August, 1981.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Louis Wienckowski, Director, Division of Extramural Research Programs (Behavioral Sciences, Clinical Treatment, Neurosciences, Pharmacologic and Somatic Treatments, Applied Therapeutics Research and Small Grants). Telephone: (301) 443-3563; Dr. Juan Ramos, Director, Division of Special Mental Health Programs, (Aging Crime and Delinquency, Minority Group Programs, National Center for the Prevention and Control of Rape, Work and Mental Health). Telephone: (301) 443-3533; Mr. James Stockdill, Acting Director, Division of Mental Health Service Programs (Service Development Research). Telephone: (301) 443-3606; Dr. Darrell A. Regier, Director, Division of Biometry and Epidemiology (Epidemiologic and Services Systems Research). Telephone: (301) 443-3685 (Use same 7-digit number for FTS). National Institute of Mental Health, 5600 Fishers Lane, Rockville, MD 20857.

**RELATED PROGRAMS:** 13.101, Maternal and Child Health Federal Consolidated Programs; 13.244, Mental Health Clinical or Service Related Training Grants; 13.263, Occupational Safety and Health—Training Grants; 13.281, Mental Health Research Scientist Development and Research Scientist Awards; 16.003, Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications.

**EXAMPLES OF FUNDED PROJECTS:** Genetic studies of depressive disorders, prospective study of children of schizophrenic parents, neurological basis of major psychiatric disorders, neuroregulators and behavior, basic social psychological interventions in senile dementia, legal impact on mental health practice, processes in learning and behavioral change.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit, the feasibility of the research, mental health implications and relevance to NIMH priorities, and public health issues are all considerations in determining what projects will be funded.

## 13.243 ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION SCIENTIFIC COMMUNICATIONS AND PUBLIC EDUCATION

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410 as amended; 42 U.S.C. 241.

**OBJECTIVES:** To provide fullest possible dissemination of alcohol, drug abuse and mental health information through a full-scale program of scientific communications and public information and education activities serving both the professional community and the general public.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** No grant funds are provided. Assistance is given in response to inquiries from the scientific and general public, and to the printed and electronic media. Types of public information materials and activities include brochures, fliers, fact sheets, pamphlets and exhibits, news releases, new features, films, television and radio productions, articles for national magazines, and daily assistance to representatives of the public media. The National Clearinghouse for Mental Health Information serves as a central facility to coordinate information exchange in the mental health field. The National Clearinghouse for Drug Abuse Information serves as a central facility to coordinate information exchange in the anti-drug abuse field. The National Clearinghouse for Alcohol Information provides information on alcohol abuse and alcoholism.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All activities and materials are for the use and benefit of the total public.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Requests for information should be addressed to Director, Office of Communications, Alcohol, Drug Abuse, and Mental Health Administration.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** FY 81 $9,000,000; FY 82 est $8,500,000; and FY 83 est $10,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Distribution of millions of publications, releases, features, articles, booklets, pamphlets, and other forms of mass media.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Numerous publications are available, contact the headquarters office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** 1) Mr. James Helsing, Director, Office of Communications and Public Affairs, Alcohol, Drug Abuse, and Mental Health Administration, PHS/HHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3783; 2) Dr. Julius Segal, Director, Division of Scientific and Public Information, National Institute of Mental Health, Alcohol, Drug Abuse, and Mental Health Administration, PHS/DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3600; 3) Ms. Susan Lachter, Director, Office of Communications and Public Affairs, National Institute on Drug Abuse, Alcohol, Drug Abuse, and Mental Health Administration, PHS/DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1124; 4) Ms. Theresa Bellicha, Acting Director, Division of Prevention, National Institute on Alcohol Abuse and Alcoholism, Alcohol, Drug Abuse, and Mental Health Administration, PHS/DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4733.

**RELATED PROGRAMS:** 13.242, Mental Health Research Grants; 13.244, Mental Health Clinical or Service Related Training Grants; 13.271, Alcohol Research Scientist Development and Research Scientist Awards; 13.272, Alcohol National Research Service Awards for Research Training; 13.273, Alcohol Research Programs; 13.274, Alcohol Clinical or Service Related Training Programs; 13.277, Drug Abuse Research Scientist Development and Research Scientist Awards; 13.278, Drug Abuse National Research Service Awards for Research Training; 13.279, Drug Abuse Research Programs; 13.280, Drug Abuse Clinical or Service Related Training Programs; 13.281, Mental Health Research Scientist Development and Research Scientist Awards; 13.282, Mental Health National Research Service Awards for Research Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.244 MENTAL HEALTH CLINICAL OR SERVICE RELATED TRAINING GRANTS

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 303; Public Law 78-410 as amended; 42 U.S.C. 242a.

**OBJECTIVES:** To encourage mental health specialists to work in areas and settings where severe shortages exist; to increase the number of qualified minority personnel in the mental health professions, and the number of mental health personnel trained to deal with the special problems of children, adolescents, and the elderly; and to assure that the skills and knowledge of mental health personnel are appropriate to the needs of those they serve.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used: (1) To defray institution costs of the training program (personnel, supplies, equipment, travel, and other necessary expenses); and (2) to provide trainee stipends and other allowances (tuition, and fees, etc.) for individuals enrolled in the training program. Funds may be used only for expenses directly related to the training program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are awarded to public or private nonprofit institutions and organizations, and State and local government agencies for training relevant to mental health service priorities in the mental health disciplines of psychiatry, psychology, social work, psychiatric nursing, and for paraprofessional training in other areas relevant to mental health, and in specialized areas of high priority and need such as State manpower development and for mental health research and development projects; and for State mental health agencies to plan, implement, and evaluate systems for mental health services manpower development. (See 13.282 to apply for research training support.) Trainees in psychology, psychiatry, psychiatric nursing, or social work, unless training program is of a limited duration or experimental nature, will be subject to payback requirements of Section 303 of the PHS Act, as amended by of Sec. 803 of the Mental Health Systems Act (P.L. 96-398).

**Beneficiary Eligibility:** Trainee stipends may be awarded only to citizens or nationals of the United States, or to persons lawfully admitted for permanent residence. Individuals seeking trainee stipend support must apply directly to and be accepted by the training institution, and submit an acceptable statement of appointment of Trainee Form (PHS-2271) and a payback form.

**Credentials/Documentation:** An institution providing basic professional training in a mental health discipline must have an accredited program before it may award trainee stipends. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the National Institute of Mental Health is not mandatory but is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 (PHS 5161-1) must be used for applicants that are State and local governments.

**Application Procedure:** Application kits, containing the necessary form (PHS 2499-1) and instructions for completing the form, may be obtained from Grants Management Branch, National Institute of Mental Health. Consultation on a proposed project may be obtained from the NIMH branch or center responsible for the training area of interest. Applications are reviewed by non-Federal consultants recruited nationwide from the mental health field. Amount of award and period of support are determined on basis of merit; must also be reviewed by National Advisory Mental Health Council. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants in support of approved applications are awarded directly to the applicant institution by the National Institute of Mental Health.

**Deadlines:** October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** Approximately 180 days after submission of application.

**Appeals:** Applicant may revise and resubmit application.

**Renewals:** Support of an approved project is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of the project period, grantee may submit application for renewal of support which is processed as a new, competing application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Varies, but project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within project period a continuation application must be submitted on a noncompeting basis for each year of support. Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual report of expenditures within 90 days after termination of annual grant. Trainees incurring the payback obligation upon completion of training, report annually on previous year's activities related to service that fulfills payback obligation.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions". These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $61,876,000; FY 82 est $42,238,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $4,968 to $346,536; $47,467.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 1,289 applications were received and NIMH funded 898 clinical and/or, service related training grants. NIMH estimates funding 617 grants in fiscal year 1982. No grants are anticipated in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR, Part 64. Guidelines are included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. William H. Denham, Director, Division of Manpower and Training Programs (Psychiatry, Psychology, Social Work, Psychiatric Nursing, Paraprofessional, State Manpower, Research and Demonstration. Telephone: (301) 443-4257. Dr. Juan Ramos, Director, Division of Special Mental Health Programs, Minority Groups Mental Health Programs, Crime and Delinquency, Aging, Work and Mental Health; Prevention and Control of Rape. Telephone: (301) 443-3533; Mr. James Stockdill, Acting Director, Division of Mental Health Service Programs (Service Development). Telephone: (301) 443-3606; Dr. Darrell A. Regier, Director, Division of Biometry and Epidemiology (Epidemiology). Telephone: (301) 443-3648 (Use same 7-digit number for FTS); National Institute of Mental Health, 5600 Fishers Lane, Rockville, MD 20857.

**RELATED PROGRAMS:** 13.242, Mental Health Research Grants; 13.282, Mental Health National Research Service Awards for Research Training.

**EXAMPLES OF FUNDED PROJECTS:** Psychosocial pediatrics for primary care physicians; social work training in community mental health; graduate program in nursing for ethnic minorities; training foster parents as mental health workers; and interdisciplinary mental health care education program.

**CRITERIA FOR SELECTING PROPOSALS:** Technical merit, facilities and environment for the training program, previous training records, relevance to NIMH priorities, potential contribution to mental health field are considered in determining what programs/projects will be funded.

## 13.246 MIGRANT HEALTH CENTERS GRANTS

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 329 (c) and (d), Public Law 78-410, as amended by Public Law 94-63, Public Law 95-626 and Public Law 97-35; 42 U.S.C. 247d.

**OBJECTIVES:** To support the development and operation of migrant health centers and projects which provide primary ambulatory and in-patient health services, supplemental health services and environmental health services which are accessible to migrant and seasonal agricultural farm workers and their families as they move and work.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Migrant health program funds may be used for the planning and development and for the operation of clearly defined migrant health centers and for the planning and development and operation of migrant health programs that must meet specific requirements of services available to migratory and seasonal agricultural workers. Funds may be used for the acquisition and modernization of existing buildings and for training related to the management of programs assisted through grants and contracts. Migrant Health Centers Programs include the defined primary and supplemental services as specified in the legislation, including hospitalization benefits. Funds may also be used to assist states in the implementation and enforcement of acceptable environmental health standards, including enforcement of standards for sanitation in migrant labor camps and applicable Federal and State pesticide control standards. In addition, program funds may be used to conduct projects and studies to assist the several states and entities which have received grants or contracts under Section 329 in the assessment of problems related to camp and field sanitation, pesticide hazards, and other environmental health hazards to which migratory agricultural workers, seasonal agricultural workers, and members of their families are exposed. Unallowable costs: Contingency reserves; entertainment; equipment in excess of $1,000 which is specifically related to achieving the objectives of the project and general purpose equipment in excess of $300 require prior HSA approval; foreign travel; honorarium; library support; property taxes; direct construction of buildings; trainee stipends; and subgrants. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any public or nonprofit private entity. Priority will be given to applications submitted by community-based organizations which are representative of the populations to be served. Profit making organizations are not eligible.

**Beneficiary Eligibility:** Migratory agricultural workers, seasonal agricultural workers, and members of their families.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For others, costs will be determined in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by applicants which are State or local government agencies. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). In accordance with Section 15-13 (e) of the Public Health Service Act, these projects are subject to HSA review.

**Application Procedure:** Application forms are available from the Regional offices (see address appendix for a list of regional offices). State and local governments must prepare a Form HHS-5161, Application for Federal Assistance (Nonconstruction), fully documenting the need for the grant and the proposed amount for the project. Other non-profit entities must complete Form PHS 5194, Grant Application for Health Services, documenting the need for and the proposed amount of the grant. Applications are to be submitted to the Administrator of the appropriate DHHS Regional Office. Applications must also be submitted to the appropriate health planning agencies under Title XV of the Public Health Service Act and other designated organizations for review and comment. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** After approval by the Regional Health Administrator, the regional grants management office prepares a notice of award, secures necessary clearances and approval signatures, issues the award, enters the approved award in the grant payment process and then provides notification of the grant approval to the public as well as the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 45 to 90 days.

**Appeals:** None.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not more than two grants may be made to plan and develop a migrant health center; however, this provision does not prohibit such entities from receiving additional grants if they become migrant health centers. Not more than one grant may be made to an entity to plan and develop a migrant health program; however, this provision does not prohibit such entity from receiving additional grants if it becomes a migrant health program.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State and local governments must submit an expenditure report 90 days after the end of each budget period. Other nonprofit entities are required to submit an expenditure report 60 days after each budget period. Basic data, cost accounting, and reporting or monitoring systems will be compatible with federally established national reporting requirements for health services delivery projects.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Annual audits are required to be conducted by the grantee as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $43,223,000; FY 82 est $38,100,000; and FY 83 est $0. (Note: This program has been proposed for consolidation into 13.993, Primary Care Block Grant in FY 83.)

**Range and Average of Financial Assistance:** $30,000 to $1,900,000; $250,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 140 awards were made. It is estimated that 135 awards will be made in FY 82 and 130 in FY 83.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Grants Policy Statement, DHHS Publication No. (OS) 77-50,000 October 1, 1976. Federal Register publication of rules and regulations for PHS Grants for Community and Migrant Health Services, Friday, November 25, 1977.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Each Regional Health Administrator of the HHS regional offices is responsible for the administration of this program (See Appendix IV of the Catalog for a list of regional offices.)

**Headquarters Office:** Acting Associate Bureau Director for Migrant Health, Bureau of Community Health Services, Room 7A55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1153 (Use same 7-digit number for FTS). Contact: Dr. Michael Samuels.

**RELATED PROGRAMS:** 13.110, Maternal and Child Health Federal Consolidated Programs; 13.217, Family Planning Projects; 13.224, Community Health Centers; 13.256, Health Maintenance Organizations; 13.258, National Health Service Corps; 13.294, Health Planning-Health Systems Agencies; 13.600, Administration for Children, Youth and Families - Head Start; 13.714, Medical Assistance Program; 13.773, Medicare-Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance; 17.230, Migrant and Seasonal Farmworkers.

**EXAMPLES OF FUNDED PROJECTS:** Primary or comprehensive ambulatory health care to include: outreach, transportation, pharmacy, x-ray, etc.

**CRITERIA FOR SELECTING PROPOSALS:** Relative merit of grant proposals as measured against the Bureau's funding criteria, specific program guidelines, regional priorities and needs, reasonableness and appropriateness of costs, and past management performance of the applicant.

## 13.256 HEALTH MAINTENANCE ORGANIZATIONS (HMOs)

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title XIII of the Public Health Service Act, Health Maintenance Organizations; 42 U.S.C. 300 e, as amended by Health Maintenance Organization Amendments of 1976, and Public Law 95-559, HMO Amendments of 1978.

**OBJECTIVES:** To stimulate the development and increase the number of various models of prepaid, comprehensive health maintenance organizations throughout the United States and the expansion of federally qualified Health Maintenance Organizations.

**TYPES OF ASSISTANCE:** Project Grants; Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** To provide Federal financial assistance for feasibility surveys, planning, initial development projects and initial operation costs in addition to construction of Ambulatory Health Care Facilities. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the the Headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** 1) Grants and Loans: Public and private nonprofit organizations that plan to develop, operate and expand an HMO; 2) Loans guarantees: private organizations, including profit-making organizations, that plan to develop or operate and expand an HMO in a medically underserved area; and (3) Loans and loan guarantees for initial operating costs: Federally qualified HMOs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with 45 CFR Part 74, Subpart Q. Appendix C of Subpart Q is applicable to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only. All Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Preapplication consultation with the Regional HMO Program Director is recommended but not required.

**Application Procedure:** Regional Office receives the application; it is reviewed in the region and all successful applications are forwarded to headquarters for final review and selection. Review by Health Systems Agencies is also required. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Awards are issued by the Regional Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 120 days between receipt of application and notification.

**Appeals:** None.

**Renewals:** The procedure for renewals is the same as indicated under Application Procedure above.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Requires 10 percent matching unless servicing a medically underserved area.

**Length and Time Phasing of Assistance:** 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final expenditures reports and quarterly progress reports.

**Audits:** Preliminary audit and an annual audit.

**Records:** Financial records, supporting documents, statistical records and all other records pertinent to the grant award are to be retained for a period of 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** (Program) 75-1101-0-1-550; (Loan) 75-4435-0-3-551.

**Obligations:** (Grants) FY 81 $17,749,746; FY 82 est $0; and FY 83 est $0. (Direct and guaranteed loans) FY 81 $15,794,000; FY 82 est $28,100,000; and FY 83 est $24,500,000.

**Range and Average of Financial Assistance:** Grants: $75,000 to $2,000,000; $400,000. Loans: Operating deficit up to $4,500,000; $2,000,000. Ambulatory Construction: up to $2,500,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 40 HMO's became qualified; 95 grants were awarded, expansion grants among them.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 110, Health Maintenance Organizations. Subpart A-Requirements for an HMO, Subpart, B Federal Financial Assistance: General, Subparts C, D and E-Grants and Loans, Subpart F-Qualification, Subpart G-Restrictive State Laws and practices, Subpart H-Employees' Health Benefit Plans, Subpart I-Continued Regulation of Health Maintenance Organizations and Other Entities and Subpart J-Loan and Loan Guarantees for Construction of Ambulotary Care Facilities. Guidelines for Subpart B, C, D, and E have been published. Various brochures, papers, and publications can be obtained from the contacts listed below. DHHS Administration of Grants-CFR 45, Part 74 Revised June 9, 1981 PHS Grants Policy Statement, No. (OS) 77-50,000 revised October, 1976. Publications can be obtained from the contacts listed below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator, appropriate HHS Regional Office (see Appendix IV).

**Headquarters Office:** OASH, Office of Health Maintenance Organizations, PHS, 12420 Parklawn Drive, Rockville, MD 20857. Telephone: Robert Hamel, (301) 443-6016.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** FEASIBILITY GRANTS - Grants awarded to organizations to conduct surveys or other activities to determine the feasibility of developing and operating or expanding the operation of Health Maintenance Organizations. PLANNING GRANTS - Grants awarded to organizations to facilitate planning for the establishment of Health Maintenance Organizations, or the significant expansion of the membership, or areas served by the Health Maintenance Organizations meeting the requirements of Subpart A of this Part. LOANS - Loans may be made to eligible applicants to assist them in meeting the amount by which their operating costs, during a period not exceed the first 60 months of their operation, exceed their revenues in such period.

**CRITERIA FOR SELECTING PROPOSALS:** The selection criteria for HMO programs is too detailed to reprint in this section. The applicant is asked to review the selection criteria as outlined explicitly in Subpart E published February 22, 1979 (Part V), CFR. of the HMO Final Regulations, Subparts C, D (Part V), CFR, published October 27, 1978.

## 13.258 NATIONAL HEALTH SERVICE CORPS

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Sections 333 and 335 (c), Public Health Service Act as amended, by Public Law 97-35; 42 U.S.C. 254f and 254h.

**OBJECTIVES:** To improve the delivery of health care services to residents in areas critically short of health personnel.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Health personnel are assigned to areas designated as having shortages of such personnel. Emphasis is placed on health personnel who provide primary medical or dental care, such as general practitioners, internists, pediatricians, family practitioners, nurse practitioners, physician assistants, or dentists. Persons receiving services shall be charged to recover the value of services provided. No charge or a reduced charge may be made for a person who is determined unable to pay the regular charge. Scope of services provided by the Corps will depend on the nature of shortages in that area; not all Corps field projects will offer all services. Communities may apply for designation as a health manpower shortage area and assignment of Corps personnel. Designation and assignment, however, are at the discretion of the Secretary. Assignment of personnel will be based in part on availability of service personnel to provide requested services. In addition, loans may be provided to communities in conjunction with the assignment of National Health Service Corps assignees to help in establishing medical, dental or other health professions practices; acquire equipment; and renovate buildings.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applications for assignment of Corps personnel may be made by any public or nonprofit private health or health-related organization in designated areas. The potential beneficiary community must be closely involved with such an application.

**Beneficiary Eligibility:** Ultimate program beneficiaries are the residents of areas which receive Corps assignees. All persons are eligible to receive health services on an equal basis.

**Credentials/Documentation:** Recommendations should be sought from Health Systems Agencies as well as from health professional societies in the area concerned.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All parties to the application, including professional societies, provider groups, consumer groups and any other parties, should be involved in the development of the application. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). In accordance with Section 15-13(e) of the Public Health Service Act, these projects are subject to HSA Review.

**Application Procedure:** Information, guidelines and application forms may be obtained from the appropriate DHHS regional office. Assistance from the Corps is available to designated areas and communities in making application for health manpower.

**Award Procedure:** Decisions to assign personnel and to make loans, will be made by the Secretary depending on the number of applications, availability of personnel and funds, and the recommendations of the DHHS regional office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Assignments may be renewed if evaluation indicates necessity to do so. Renewals or extensions are not available for loans.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There are no set matching requirements. The Secretary considers willingness of the community to support the program and work with assignees. Assistance provided by the community or other agency might involve facilities, other personnel, administrative services, supplies and equipment, or forms of inkind services.

**Length and Time Phasing of Assistance:** Personnel are normally assigned for a period of 2 years. The majority of assignments are made in July of each year, but may be made at anytime during the fiscal year depending on availability of health manpower.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual reports covering fees collected; number and types of services rendered; number and age of persons served; number and types of personnel staffing; and other financial information about the project are required in accordance with program guidelines.

**Audits:** Subject to the auditing procedures of the applicant organization Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been used efficiently, economically and effectively.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the NHSC assignee or loan received, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Salaries and expenses) FY 81 $84,184,500; FY 82 est $94,453,000; and FY 83 est $10,438,000. (Loans) FY 81 $554,500; FY 82 est $1,000,000; and FY 83 est $1,000,000.

**Range and Average of Financial Assistance:** (Loans) $10,000 to $50,000; $10,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,060 health personnel served in 963 communities, and 21 loans were awarded to assist communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guidelines, application forms, and regulations are obtained at no cost from the DHHS Regional Office. PHS Grants Policy Statement, DHHS Publication No. (OS) 77-50,000 (Rev.) October 1, 1976.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator, or National Health Service Corps Regional Program Consultant of the appropriate HHS Regional Offices (see Appendix IV of the Catalog).

**Headquarters Office:** National Health Service Corps, Health Services Administration, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Contact Billy Sandlin, Telephone: (301) 443-1994 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.224, Community Health Centers; 13.232, Maternal and Child Health Consolidated Federal Programs; 13.246, Migrant Health Centers Grants; 23.004, Appalachian Health Programs.

**EXAMPLES OF FUNDED PROJECTS:** A rural health association, a community health care center and a neighborhood medical center.

**CRITERIA FOR SELECTING PROPOSALS:** (1) The greatest degree of health manpower shortage, (2) willingness of community to assist and cooerate with the Corps, (3) comments of health professional societies, (4) The need and demand for personnel in the area, (5) appropriate and efficient use of NHSC personnel, (6) unsuccessful area efforts to secure health manpower, and (7) reasonable prospect of sound fiscal management by the entity with respect to Corps members assigned to such entity.

## 13.260 FAMILY PLANNING SERVICES

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title X, Section 1003, Public Health Service Act, as extended; 42 U.S.C. 300.

**OBJECTIVES:** To provide job specific training for personnel to improve the delivery of family planning services.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded to develop job specific continuing education training to Title X project staffs; to improve utilization and career development of paraprofessional and paramedical manpower in family planning services, particularly in rural areas, through new or improved approaches to program planning and development of resources. The training project must not advocate abortion as a method of family planning and must not train personnel to perform abortions. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any city, county, and State government or nonprofit private entity located in a State (the District of Columbia, Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands) is eligible to apply for a grant under this subpart.

**Beneficiary Eligibility:** Personnel delivering family planning services with priority given to those serving in Title X projects.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; all other applicants in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** No requirements for coordination. Informal preapplication consultation between prospective applicants and Bureau of Community Health Services staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by applicants which are State or local government agencies. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised).

**Application Procedure:** Applications and instructions may be obtained from the Grants Management Branch, Bureau of Community Health Services, Health Services Administration, Rockville, MD 20857. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Associate Bureau Director for Family Planning, BCHS, Health Services Administration, makes final decisions to approve, hold, or reject individual grants. Applicants are notified regarding the final decision on each application. All projects approved are furnished statements of award. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As specified in announcements of available funds.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** None. Applicants may rework grant applications through consultation with headquarters staff.

**Renewals:** Projects are renewed, as required, based on submission of a progress report and evidence of plan compliance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Grants may be approved for a budget period not to exceed 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Expenditure report on annual basis. Progress report to be submitted with continuation application. Special reports as requested.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $3,500,000; FY 82 est $2,700,000; and FY 83 est $0. (NOTE: This program is proposed for consolidation into the Primary Health Care block grant in FY 83).

**Range and Average of Financial Assistance:** $15,000 to $376,202; $152,000.

**PROGRAM ACCOMPLISHMENTS:** The number of trainees for fiscal year 1981 was approximately 13,740. The number of trainees projected for fiscal year 1982 is 9,800. In fiscal year 1981, new and competitive applications were received and of that number 15 were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 59 Subpart C. PHS Grants Policy Statement, DHHS Publication No. (OS) 77-50,000 (Rev.) October 1, 1976.

**INFORMATION CONTACTS:**

**Regional or Local Office:** HHS Regional Offices (see Appendix IV).

**Headquarters Office:** Health Services Administration, Bureau of Community Health Services, 5600 Fishers Lane, Rockville, MD 20857. Telephone: Edward G. Martin, M.D. (301) 443-2430 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.217, Family Planning Projects.

**EXAMPLES OF FUNDED PROJECTS:** 1) Family planning; 2) women's health care; and 3) obstetric gynecologic nurse practitioner and general training.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Compliance with regulations and guidelines, 2) demonstrated capability to carry out a program, and 3) priority needs of service area.

## 13.262 OCCUPATIONAL SAFETY AND HEALTH RESEARCH GRANTS

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Public Law 78-410, Sections 301 and 311; 42 U.S.C. 241; Occupational Safety and Health Act of 1970, Section 20(a) (1); Public Law 91-596; Federal Mine Safety and Health Amendments Act of 1977, Public Law 95-164, Section 501(c).

**OBJECTIVES:** To understand the underlying characteristics of occupational safety and health problems and for effective solutions in dealing with them. To eliminate or control factors in the work environment which are harmful to the health and/or safety of workers. To demonstrate technical feasibility or application of a new or improved occupational safety and health procedure, method, technique, or system.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are available for costs directly attributed to the performance of the research plus certain indirect costs of the institution or agency in accordance with established policies of the Public Health Service.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individual State or local governments, public and state colleges or universities, private, junior and community colleges and public or private institutions capable of conducting research in the field of occupational safety and/or health.

**Beneficiary Eligibility:** Research institutions and agencies as well as workers subject to occupational hazards.

**Credentials/Documentation:** Nonprofit Institutions: Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q. Appendix C of Subpart Q is applicable to State and local governments and is based on OMB Circular No. A-87. Profit Institutions: Costs will be determined by Federal Procurement Regulations 41 CFR Part 1-15.2.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For State and local governmental agencies only, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Made in the form of an application (PHS Form 398) to Division of Research Grants, National Institutes of Health, Bethesda, Maryland 20205. A cover letter requesting assignment to the National Institute for Occupational Safety and Health should be included. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Approved grants are funded based on priority score and made approximately three times per year. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533-2) indicates support recommended for remainder of project period, allocations of Federal funds by budget categories, and special conditions, if any.

**Deadlines:** New applications: July 1 and November 1; Renewal applications: October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** 4 to 5 months.

**Appeals:** None.

**Renewals:** Applications for renewal (PHS Form 398) will be reviewed in the same manner as a new application and will compete for available funds with other applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** 1 to 5 years (renewable).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Report of expenditures (annual); interim progress report (annual); terminal progress report (3 months after end of project); invention statement (annual).

**Audits:** PHS grants are subject to inspection and audit by representatives of HHS. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for 3 years after end of each budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $4,740,000; FY 82 est $4,740,000; and FY 83 est $5,119,000.

**Range and Average of Financial Assistance:** $5,000 to $450,000; $80,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 195 research applications were received and 61 research grants were awarded. It is anticipated that 53 research grants will be awarded in fiscal year 1982, and approximately 53 will be awarded in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Public Health Service Grants for Research Projects." "Occupational Safety and Health Research and Demonstration Grants." PHS Grants Policy Statement "DHHS No. (OS) 77-50,000" (Rev) 10/1/76.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Procurement and Grants Management Branch, OAMS Center for Disease Control, National Institute for Occupational Safety and Health, Department of Health and Human Services, 5600 Fishers Lane, Rm. 8-35 Parklawn Bldg., Rockville, MD 20857. Telephone: (301) 443-3122. For program information contact: Jack E. McCracken, Ph. D., Telephone: (301) 443-4493. (Use same 7-digit number for FTS). Contact: Joseph West.

**RELATED PROGRAMS:** 13.263, Occupational Safety and Health—Training Grants; 13.283, Center for Disease Control-Investigations, and Technical Assistance; 17.500, Occupational Safety and Health.

**EXAMPLES OF FUNDED PROJECTS:** 1) "Nucleation Properties of Respirable Coal Dust" - A research effort to develop means of enhancing the nucleation properties of respirable coal dust so as to improve the precipitation characteristics of coal dust with water for more effective control of dust in underground mines; 2) "Vibration Characteristics of the Hand and Arm" - A project to investigate effects on the hand and arm of vibration resulting from hand-held or hand-directed power and other mechanical tools, the ultimate objective to correlate the medical findings in Raynaud's phenomenon (and other related disorders of the hand) to the mechanical and vibration response characteristics of the hand; 3) "Pulmonary Dust Retention and Occupational Lung Disease" - A research effort aimed at the characterization of the pathways, transport rates, accumulation sites, and routes for deposited particles by inhalation in the non-ciliated pulmonary regions of the lungs in order to provide an improved basis for the characterization of dose associated with the inhalation of airborne contaminants; 4) "Biological Effects of Nitrous Oxide Used in Dentistry" - An investigation of the toxic effects of nitrous oxide at low levels and the delineation of the biochemical mechanisms of the toxicity as well as the determination as to whether chronic exposure to low levels of nitrous oxide is teratogenic or mutagenic in rats and mice; 5) "A Neuropathologic Study of Acrylamide Intoxication" - A study to develop new, sensitive methods for the assessment of chemically induced neurotoxicity and neuroteratogencity and to illuminate the mechanism of neurotoxin-induced nerve fiber degeneration.

**CRITERIA FOR SELECTING PROPOSALS:** Research and demonstration grants are reviewed on the basis of scientific/technical merit, attention being given to such matters as 1) training, experience, and research competence or promise of the investigators or group of investigators; 2) adequacy of the experimental design and protocol; 3) scientific and/or technical importance of the proposed research problem; 4) availability of facilities; 5) need for stimulus in certain fields; and 6) reasonableness of the proposed budget in relation to work proposed.

## 13.263 OCCUPATIONAL SAFETY AND HEALTH—TRAINING GRANTS

### (ERC; Educational Resource Centers)

**FEDERAL AGENCY:** CENTER FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Public Law 78-410, as amended; Sections 301, 311 and 327; 42 U.S.C. 241 D and G; Occupational Safety and Health Act of 1970, Section 21; Public Law 91-596.

**OBJECTIVES:** To develop specialized professional personnel in occupational safety and health problems with training in occupational medicine, nursing, industrial hygiene and safety.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are available for direct costs of the program, plus certain indirect costs of the institution or agency, determined by Public Health Service policy on training programs. Amounts of stipends and other details are in accordance with Public Health Service policy.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, local or private nonprofit institution or agency involved in training at technical, professional, or graduate level.

**Beneficiary Eligibility:** Trainees must be admissible to the grantee institution and have interests in occupational safety and health training.

**Credentials/Documentation:** Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q. Appendix C of Subpart Q is applicable to State and local governments and is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For State and local governmental agencies only, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Made in the form of an application (PHS Form 6025-1, Rev. 2-80) to the National Institute for Occupational Safety and Health (office listed below). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Approved grants are funded based on priority score. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533-2) indicates support recommended for remainder of project period, allocations of Federal funds by budget categories, and special conditions, if any.

**Deadlines:** New applications: July and November 1; Renewal applications: October 1.

**Range of Approval/Disapproval Time:** 4 to 5 months.

**Appeals:** No appeals procedure as such. Resubmit application according to above schedule.

**Renewals:** Applications for renewal (PHS 6025-2) with deadlines of October 1, February 1 and June 1, will be reviewed in the same manner as a new application and will compete for available funds with other applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** 1 to 5 years (renewable).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Appointment statements for each trainee, annual report of expenditures, interim progress report (annual), terminal progress report (3 months after end of project).

**Audits:** PHS grants are subject to inspection and audit by representatives of the Department of Health and Human Services. Periodic audits should be made as a part of the recipients systems of financial management and internal control to meet terms and conditions of grants and other agreements. Federal audits will be made in accordance with the policies of OMB Cicular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for 3 years after end of each budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $2,602,000; FY 82 est $5,760,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $10,000 to $1,000,000; $225,000.

**PROGRAM ACCOMPLISHMENTS:** There were 26 applications received and 25 grants awarded in fiscal year 1981. It is anticipated that 25 grants will be funded in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Public Health Service Grants for Training Projects, Occupational Safety and Health Training Grants, "PHS Grants Policy Statement" DHHS Publication No. (OS) 77-50,000 (Rev.) dated October 1, 1976.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Procurement and Grants Management Branch, OAMS, Center for Disease Control, National Institute for Occupational Safety and Health, Department of Health and Human Services, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3122 (Use same 7-digit number for FTS). Contact: Joseph West. For program information contact: Dr. Thomas Purcell, Telephone: (513) 684-8240.

**RELATED PROGRAMS:** 13.262, Occupational Safety and Health Research Grants; 17.500, Occupational Safety and Health.

**EXAMPLES OF FUNDED PROJECTS:** Training grants are available in two forms. EDUCATIONAL RESOURCE CENTERS: Projects are funded in support of establishing and operating an Educational Resource Center. The ERC's are designed to provide multidisciplinary training for students in the core program areas of occupational medicine, occupational health nursing, industrial hygiene, and safety engineering at the graduate, undergraduate, technical, and paraprofessional levels. The ERC program also is intended to afford opportunity for full and part-time academic career training, for cross training of occupational safety and health practitioners, for mid-career training in the field of occupational health and safety, and access to many different and relevant courses for students pursuing various degrees. LONG-TERM TRAINING PROJECT GRANTS: Support is available for the establishment, strengthening, or expansion of graduate, undergraduate, and special training programs in the occupational safety and health fields. The types of training currently eligible for support are: graduate training for practice, teaching, and research careers in occupational safety and health (priority will be given to programs emphasizing training for practice and teaching); undergraduate training providing trainees with capabilities for positions in occupational safety and health professions; and special technical or other programs for training of occupational safety and health technicians or specialists.

**CRITERIA FOR SELECTING PROPOSALS:** The following are representative of some of the criteria used: overall potential contribution of the project toward meeting program objectives; the need for training in the areas outlined in the application; curriculum content and design; previous record of training; evaluation method; experience and training of project director and staff; institutional commitment; academic and physical environment; appropriateness of budget.

## 13.268 CHILDHOOD IMMUNIZATION GRANTS

### (Section 317, Public Health Service Act; Immunization Program)

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 317(a)(2), 42 U.S.C. 247b, as amended by the Health Services and Centers Amendments of 1978; Public Law 95-626, and the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To assist States and communities in establishing and maintaining immunization programs for the control of vaccine preventable diseases of childhood (including measles, rubella, poliomyelitis, diphtheria, pertussis, tetanus, and mumps).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for costs associated with planning, organizing, and conducting immunization programs directed toward vaccine preventable diseases of childhood and for the purchase of vaccine; and for the implementation of other program elements, such as assessment of the problem; surveillance and outbreak control; service delivery; information and education; adequate notification of the risks and benefits of immunization; compliance with compulsory school immunization laws; vaccine storage, supply, and delivery; citizen participation; and use of volunteers. Vaccine will be available "in lieu of cash" if requested by the applicants. Requests for personnel and other items "in lieu of cash" will also be considered. Vaccine purchased with grant funds may be provided to private practitioners who agree not to charge for the vaccine. A charge for vaccine administration will be permitted. Grant funds may not be used for supplanting existing influenza immunization services provided by a State or locality. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, and in consultation with State health authorities, political subdivisions of States and other public entities. Private individuals and private nonprofit agencies are not eligible for immunization grants.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants should document the need for assistance, state the objectives of the project, and outline the method of operation. Costs will be determined in accordance with OMB Circular No. A-87, for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised), and the review requirements of the National Health Planning and Resources Development Act of 1974 as amended by the Health Planning and Resources Development Amendments of 1979.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications should be submitted to the Regional Health Administrator, Public Health Service, of the appropriate Department of Health and Human Services Regional Office.

**Award Procedure:** After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. The designated State Central Information Reception Agency is also notified in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 4 months prior to beginning date of period for which funds are requested.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Although there are no specific matching fund requirements. Information must be provided in the narrative portion of the application on the expenditures for childhood immunization programs made by the applicant.

**Length and Time Phasing of Assistance:** Project Period - variable; Budget Period - 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:** Grants are subject to inspection and audit by representatives of HHS to determine, at a minimum, the fiscal integrity of financial transactions and reports and compliance with laws, regulations and administrative requirements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $24,132,000; FY 82 est $21,817,000; and FY 83 est $21,928,000.

**Range and Average of Financial Assistance:** Range: $44,000 to $1,260,000; Average: $377,063.

**PROGRAM ACCOMPLISHMENTS:** Sixty-four grants were awarded in the amount of $24,132,000. Immunization grants will continue to provide assistance to State and local health agencies in planning, developing, and coordinating immunization programs which are directed toward preventing and controlling measles, rubella, polio, mumps, diphtheria, pertussis, and tetanus. Special emphasis will be placed on eliminating the spread of indigenous measles in the United States by October 1, 1982. Fifty of the 64 immunization projects conducted surveys to determine the immunization levels of children entering primary school. The national weighted results of immunization levels determined by this assessment for the 1980/1981 school year were 96 percent for measles; 96 percent for DTP, and rubella; 95 percent for polio; and 92 percent for mumps. In addition to achieving these high levels, substantial progress has been made in the reduction of vaccine-preventable diseases. Preliminary data indicate record low numbers of cases were reported during 1981 for measles (3,032), mumps (4,729), rubella (2,060), diphtheria (4), tetanus (60), and polio (6). Only six cases of tetanus and two cases of diphtheria were reported in children under age 15. Preliminary data indicate 1,189 Pertussis cases were reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available. PHS Grants Policy Statement No. 77-50,000, October 1, 1976; (Revised).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Each Regional Health Administrator of the HHS Regional Offices is responsible for the administration of this program (See Appendix IV for the regional offices.)

**Headquarters Office:** Dr. William H. Foege, Director, Centers for Disease Control, PHS, DHHS, 1600 Clifton Road, N.E., Atlanta, Georgia 30333. Telephone: (404) 329-3291. For program information contact: Dr. Hinman, Telephone (202) 329-3741.

**RELATED PROGRAMS:** 13.217, Family Planning Projects; 13.224, Community Health Centers; 13.110, Maternal and Child Health Federal Consolidated Programs; 13.246, Migrant Health Centers Grants; 13.283, Center for Disease Control - Investigations, and

Technical Assistannce; 13.600, Administration for Children, Youth and Families-Head Start.

**EXAMPLES OF FUNDED PROJECTS:** The majority of official State Health Departments (California, Michigan, Texas, etc.) and many large local health departments (New York, Chicago, etc.) have ongoing disease control programs utilizing these grants. Immunization - The national program goals for immunization are to reduce morbidity and mortality due to vaccine-preventable diseases of childhood; eliminate indigenous measles from the United States by October 1, 1982; raise and/or maintain immunization levels above 90 percent for children under age 15 against measles, poliomyelitis, diphtheria, tetanus, and rubella; raise and/or maintain immunization levels above 90 percent for children under age 7 against measles, mumps, rubella, polio, diphtheria, pertussis, and tetanus; and develop, test, and implement systems for use in the States to ensure that 90 percent or more of children complete basic immunizations by age 2. In order to ensure an effective comprehensive program, all projects conduct the initial elements: Consistent enforcement of compulsory school immunization laws; assessment of immunization status (K-LK-12, licensed day care centers, Head Start); surveillance of vaccine-preventable diseases; delivery of immunization services; public information and education programs; and participation of citizens groups and use of volunteers.

**CRITERIA FOR SELECTING PROPOSALS:** Applications will be evaluated based on the extent of the problem, the establishment of specific and measurable objectives to address the problem, and the development of a sound operational plan which will ensure the implementation of each program element.

## 13.271 ALCOHOL RESEARCH SCIENTIST DEVELOPMENT AND RESEARCH SCIENTIST AWARDS

### (Research Career ("K") Awards)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 301; Public Law 78-410 as amended; 42 U.S.C. 241, Comprehensive Alcohol and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Title V, Section 501; Public Law 91-616 as amended; 42 U.S.C. 4591.

**OBJECTIVES:** To provide support for research, relating to the problems of alcohol abuse and alcoholism prevention, treatment, and rehabilitation and to raise the level of competence and to increase the number of individuals engaged in such research.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Scientist Development and Research Scientist Awards provide support for individuals with research potential who need additional development and/or experience in a productive research environment. Funds are available for salary support, and where applicable, allowances for specialized training and research costs. Salary support from NIAAA is limited to $30,000 per annum, which may be supplemented by the sponsoring institution from non-Federal funds. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research Scientist Development and Research Scientist Awards are made to appropriate research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, biomedical research institutes, and departments of behavioral science on behalf of individuals who need the opportunity to realize research potentials. The individuals in all cases must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments is based on OMB Circular No. A-87

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used by applicants that are State and local governments.

**Application Procedure:** Required application forms and instructions may be obtained from the National Institute on Alcohol Abuse and Alcoholism. Forms are completed by the applicant and his sponsor. Completed applications are reviewed by nonfederal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research scientist development and research scientist awards are recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and those approved are awarded directly by NIAAA to the applicant institution.

**Deadlines:** October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** A range of 240-270 days from submission of the application.

**Appeals:** Applicant may revise and resubmit application.

**Renewals:** Research Scientist Development and Research Scientist Awards are made for 5-year periods with renewal dependent upon competitive review.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Payment will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim Progress Reports annually as part of continuation applications; (2) Annual Report of expenditures at termination of year of support; and (3) Final Invention Statement at end of support.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $901,000; FY 82 est $819,000; and FY 83 est $1,038,000.

**Range and Average of Financial Assistance:** $32,398 to $49,356; $39,430.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 28 applications were received. The NIAAA funded 23 Research Development Awards during fiscal year 1981, and estimates funding 22 in fiscal year 1982, and 25 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 52; Guidelines included in application kit; "Guidelines for the Research Scientist Development and Research Scientist Award Program of the Alcohol, Drug Abuse and Mental Health Administration."

**INFORMATION CONTACTS:**

**Regional or Local Office:** The headquarters office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of this program.

**Headquarters Office:** Division of Extramural Research, Acting Director, Dr. Gian Salmoiraghi, National Institute on Alcohol Abuse and Alcoholism, PHS, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4375 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.272, Alcohol National Research Service Awards for Research Training; 13.273, Alcohol Research Programs; 13.274, Alcohol Clinical or Service Related Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** Organizational aspects of industrial alcohol programs, antecedents/consequences of alcohol consumption pattern, fatty acid synthesis alcohol-induced changes, and mechanisms of alcohol-induced deficits in vision.

**CRITERIA FOR SELECTING PROPOSALS:** Evidence of candidate's potential to develop and/or perform as an outstanding research scientist, overall scientific and technical merit of the proposed research plans, relevance to NIAAA priorities, and the potential contribution to the field of alcohol abuse and alcoholism are considered in determing what projects will be funded.

## 13.272 ALCOHOL NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING (F31; F32; T32; MARC)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title IV, Section 472; Public Law 78-410, as amended; 42 U.S.C. 2891-1.

**OBJECTIVES:** To provide support to individuals for predoctoral and postdoctoral research training in specified alcohol abuse-related areas via an individual National Research Service Award; an institutional National Research Service Grant provides support to enable nonprofit institutions to develop research training opportunities for individuals interested in careers in particular specified alcohol abuse related fields. The Minority Access to Research Careers Programs (MARC) are intended to assist institutions with substantial minority enrollment in the training of greater numbers of scientists and teachers in fields related to mental health, alcoholism, and drug abuse.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Individual awards are made to fellows seeking predoctoral or postdoctoral support for full-time research training in biomedical/behavioral shortage areas. An institutional allowance will be provided, upon request, to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training award in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both pre-doctoral and postdoctoral trainees. Actual tuition and fees are allowable for trainees, and an amount for institutional expenses will be provided. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Short-term training programs in which individuals participate for three months or less and that address special national research training issues are also supported. Stipend levels will be $5,040 (predoctoral) and $13,380 - $18,780 (postdoctoral) dependent upon the number of years of relevant experience. Research training support may not be used for intern or other clinical training. MARC Faculty Fellowships are for selected faculty members of institutions with substantial minority enrollment for advanced research training in specified areas of research related to mental health, alcoholism, and drug abuse. It is intended the fellowship recipients will return to their home institution to teach and conduct research, and to inspire and assist students to prepare for professional and research careers. The amount of the stipend awarded under the faculty fellowship will be commensurate with the salary or remuneration that the fellow would have been entitled to receive from his or her home institution, on the date of acceptance of the fellowship, except in no case shall the stipend exceed $25,000 annually. When an individual award is for approved training involving research at sites other than the sponsoring institution, an allowance may be requested to help support field costs of the research as well as travel. MARC Honors Undergraduate grants are to increase the number of well-prepared students from institutions with substantial minority enrollments who can compete successfully for entry into Ph.D. degree programs in disciplines related to mental health, alcoholism, and drug abuse; and to help develop and strengthen biobehavioral, psychological, social, and/or public health sciences curricula and research training opportunities in order to prepare students for research careers related to mental health, alcoholism, and drug abuse. Stipends of $3,900 per year may be requested for each trainee and other related institutional costs may be requested.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Support is provided for predoctoral and postdoctoral academic and research training only, in health and health-related areas which are specified by the National Institute of Alcohol Abuse and Alcoholism and include research training in the various aspects of prevention, education and treatment. For postdoctoral support, individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree.) Proposed study must result in research training in specified shortage areas, and may offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background, or to extend their potential for research in health related-areas. Applicants must be citizens or non-citizens nationals of the United States, or be admitted to the United States for permanent residency; they must also be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. For each month for which an individual receives a National Research Service Award which is made for a period in excess of twelve months, such individual shall engage in one month of health research or teaching or any combination thereof which is in accordance with the usual patterns of academic employment. Details of requirement available from awarding component. For MARC Programs domestic, public, or non-profit private institutions may apply. For purposes of meeting the program objectives to increase the number of minority students who will eventually engage in research training, the applicant institution must also be a four-year college, university, or health professional school whose student enrollment is draw substantially from ethnic monority groups (such as American Indian or Alaskan Native; Asian or Pacific Islander; Black, not of Hispanic origin; and Hispanic). Trainee candidates for the Honors Undergraduate program must be outstanding students in their third or fourth year of a baccalaureate degree program and meet the same citizenship requirements of other National Research Service Awards programs. MARC supported undergraduate trainees are not required to meet the payback requirements of the National Research Service Awards program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant's academic record, research experience, citizenship, institution sponsorship, etc., should be documented in the application form supplied by the National Institute on Alcohol Abuse and Alcoholism. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that Subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the NIAAA is not mandatory but is encouraged. Prior to formal application, an applicant for an Individual award must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Awards provide for training at the Alcohol, Drug Abuse and Mental Health Administration and at non-Federal public and nonprofit, private institutions. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used by applicants that are State and local governments.

**Application Procedure:** Application forms and information concerning current areas of science being supported are available from the National Institute on Alcohol Abuse and Alcoholism, 5600 Fishers Lane, Rockville, Maryland 20857. Completed forms should be submitted to the Division of Research Grants, NIH, Bethesda, Maryland 20014. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed for scientific merit by non-Federal consultants recruited nationwide from the alcoholism and mental health field. Applications other than fellowships must also be reviewed by the National Advisory Council on Alcohol Abuse and Alcoholism. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. Students to be supported must submit required forms, including a payback agreement.

**Deadlines:** October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** 5 to 7 months.

**Appeals:** Applications not favorably recommended may be revised and resubmitted. Additional time for review is 5 to 7 months.

**Renewals:** By law, an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** ADAMHA policy limits an application for fellowship support, at either the pre- or postdoctoral level, to three years. In practice, recommendations of review committees are generally for one or two years. Awards for institutional grants may be made for project periods of up to five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports are required. Reports of expenditures are required for Institutional National Service Grants. Annual reports of activities for tracking pay back provisions are required from all fellows upon termination of support.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resoultion, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $1,106,000; FY 82 est $1,152,000; and FY 83 est $1,086,000.

**Range and Average of Financial Assistance:** $9,040 to $131,554; $42,536.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 55 applications were received and NIAAA awarded 28 projects. Thirty-five grants are estimated in fiscal year 1982, and 22 grants are estimated in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 66; Guidelines included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Extramural Research, Acting Director, Dr. Gian Salmoiraghi, National Institute on Alcohol Abuse and Alcoholism, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4375 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.271, Alcohol Research Scientist Development and Research Scientist Awards; 13.273, Alcohol Research Programs; 13.274, Alcohol Clinical or Service Related Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** Family structure effects on personality of alcoholics, neurophysiology of chronic alcohol consumption, multidisciplinary alcoholism research training, and infectious diseases complicating alcoholism.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit, facilities and environment for the training program, previous training records, relevance to NIAAA priorities, potential contribution to field of alcohol abuse and alcoholism are considered in determining what programs/individuals will be funded.

## 13.273 ALCOHOL RESEARCH PROGRAMS

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 301; Public Law 78-410 as amended; 42 U.S.C. 241, Comprehensive Alcohol and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Title V, Section 501; Public Law 91-616 as amended; 42 U.S.C. 4591.

**OBJECTIVES:** To develop new knowledge and approaches to the causes, diagnosis, treatment, control, and prevention of alcohol abuse and alcoholism through basic, clinical, and applied research, investigations, experiments, and studies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants provide support for: (a) clearly defined projects or a small group of related activities, and when appropriate, support of conferences, and translation of publications; (b) large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (c) small-scale ("Small Grants") exploratory and pilot studies or exploration of an unusual research opportunity. Funds may be used only for expenses directly related to the approved research project. Small grants are limited to $10,000 direct costs for a period of 1 year or less. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Investigators affiliated with public or private profit and nonprofit agencies, including State, local, or regional government agencies, universities, colleges, hospitals, academic or research institutions, and other organizations, may apply for research grants. Small grants are primarily intended for the newer, less experienced investigator, and others who do not have regular research support or resources available from their institution.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of nonprofit status. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the NIAAA is not mandatory, but is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for grant applicants that are State and local governments.

**Application Procedure:** Research grant applications are unsolicited. Application kits, containing the necessary forms and instructions, if not available at applicant institution, may be obtained from the National Institute on Alcohol Abuse and Alcoholism. Consultation or proposed projects may also be obtained from NIAAA. Applications are reviewed by non-Federal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of the merit of the project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research Grants in support of projects recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and approved for payment are awarded directly by the NIAAA to the applicant institution.

**Deadlines:** July and November 1. Renewal deadlines: October 1. Small grant applications may be submitted at any time, however, applications for summer support must be received by December 1 (for June starting dates) and by February 1 (for July and August starting dates).

**Range of Approval/Disapproval Time:** 240 to 270 days from submission of application for grant support.

**Appeals:** Applicant may revise and resubmit grant applications.

**Renewals:** Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request. Small grants are not renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None, but grantees must share some costs. Provisions of HHS's appropriation provide that funds may not be used to pay any recipient of a research grant an amount equal to the entire cost of the project.

**Length and Time Phasing of Assistance:** Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small grants support is limited to 1 year or less and is not renewable. Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing continuation application for previously recommended support; (2) Terminal progress report within 90 days after end of project support; (3) Annual report of expenditures within 90 days after termination of annual grant; (4) Immediate and full reporting of any inventions.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency.

**Records:** Three-year record retention requirement; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $10,718,000; FY 82 est $7,733,000; and FY 83 est $13,049,000.

**Range and Average of Financial Assistance:** Grants: $7,182 to $366,023; $84,654.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 335 applications were received and NIAAA awarded 117 research grants. There are 89 grants expected to be awarded in fiscal year 1982, and 123 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR, Part 52; Guidelines are included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of these programs.

**Headquarters Office:** Division of Extramural Research, Acting Director, Dr. Gian Salmoiraghi, National Institute on Alcohol Abuse and Alcoholism, PHS, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4375 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.271, Alcohol Research Scientist Development and Research Scientist Awards.

**EXAMPLES OF FUNDED PROJECTS:** Alcohol use during pregnancy and pregnancy outcome, studies of alcoholic hepatitis, physical dependence on ethanol, and alcohol and alcohol-drug interactions.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit of the proposal and relevance to NIAAA priorities and public health issues are all considerations in determining what projects will be funded.

## 13.274 ALCOHOL CLINICAL OR SERVICE RELATED TRAINING PROGRAMS

### (Clinical Training Program)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 303, Public Law 78-410 as amended, 42 U.S.C. 242(a).

**OBJECTIVES:** To develop human resources for alcoholism services delivery programs through focusing on: (a) development of management, administration, planning and evaluation skills in the alcohol area; (b) provision of training to facilitate the integration of alcoholism treatment into the total health system; and (c) training models and demonstrations. Also includes assistance to the State and Territorial Alcoholism Authorities to; (a) improve the overall management of the manpower resources of the alcohol service delivery systems within each State; (b) increase the ability of State, local, and Federal governments to determine the overall manpower development and training needs of the treatment service delivery systems; (c) collect and analyze current information from all alcoholism treatment providers, public and private, on the need for additional trained manpower of various types by participation annually, in the National Drug and Alcohol Treatment Utilization Survey (NDATUS); and (d) expand capacity to plan, coordinate and provide continuing education and training for the alcohol treatment services workforce in response to the needs of the treatment service delivery systems. Career Teacher Awards in Alcohol and Drug Abuse are available to provide support for the development of leadership capability in schools of medicine, public health and osteopathy by increasing the number of academic faculty members knowledgeable to these fields; and subsequently to improve the training which medical students and others trained in these settings receive in the area of alcohol and drug abuse.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used: (1) to defray institution costs of the training program (personnel, supplies, equipment, travel, and other necessary expenses); and (2) to provide trainee stipends and other allowances (tuition, and fees, etc.) for individuals enrolled in the training program. Funds may be used only for expenses directly related to the training program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111.

For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Training grants are awarded to domestic public or private nonprofit institutions. Such institutions may include universities, colleges, hospitals, clinics, health maintenance organizations, units of State and local governments, community mental health centers, alcohol and drug abuse treatment and prevention programs, and other community based organizations.

**Beneficiary Eligibility:** Trainee stipends may be awarded only to citizens or nationals of the United States, or to persons lawfully admitted for permanent residence. Individuals seeking trainee stipend support must apply directly to and be accepted by the training institution.

**Credentials/Documentation:** An institution providing basic professional training must have an accredited program before it may award trainee stipends. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the NIAAA is not mandatory, but is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for applicants that are State and local governments.

**Application Procedure:** Training grant applications are unsolicited. Application kits containing the necessary form (PHS 2499-1) and instructions for completing the form and consultation on a proposed project may be obtained from the National Institute on Alcohol Abuse and Alcoholism. Applications are reviewed by non-Federal consultants recruited nationwide. Amount of award and period of support are determined on basis of merit. Must also be reviewed by the National Advisory Council on Alcohol Abuse and Alcoholism. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants in support of approved applications are awarded directly to the applicant institution by the National Institute on Alcohol Abuse and Alcoholism.

**Deadlines:** October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** Approximately 270 days after submission of grant application.

**Appeals:** Applicant may revise and resubmit application.

**Renewals:** Support of an approved project is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of the project period, grantee may submit application for renewal for a new project period. An application for renewal of support is processed as a new, competing application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Varies, but project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within project period a continuation application must be submitted on a noncompeting basis for each year of support. Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) interim progress reports annually as part of a noncompeting application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual report of expenditures within 90 days after termination of annual grant.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0361-0-1-550.

**Obligations:** (Grants) FY 81 $4,114,000; FY 82 est $2,680,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $28,160 to $205,159; $54,542.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 119 applications were received and 76 training grants were awarded. Sixty-one grants are estimated for fiscal year 1982; none is anticipated to be awarded in FY 83.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR, Part 64; Guidelines included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of this program.

**Headquarters Office:** For State Manpower Development Programs: Division of State and Community Assistance, Dr. William Gregory, Acting Director, National Institute on Alcohol Abuse and Alcoholism, PHS, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3885. For other programs, Division of Alcoholism Services Development, Mr. John Noble, Acting Director. Same address. Telephone: (301) 443-6317.

**RELATED PROGRAMS:** 13.271, Alcohol Research Scientist Development and Research Scientist Awards; 13.272, Alcohol National Research Service Awards for Research Training; 13.273, Alcohol Research Programs.

**EXAMPLES OF FUNDED PROJECTS:** Training counselors and leaders in the alcohol field, interprofessional alcohol education, training for research and administration in alcohol abuse, a Pastoral Institute for training in alcohol problems, and alcoholism training for medical professionals.

**CRITERIA FOR SELECTING PROPOSALS:** Technical merit, facilities and environment for the training program, previous training records, relevance to NIAAA priorities, potential contribution to the field of alcohol and alcohol abuse are considered in determining what programs and projects will be funded.

## 13.277 DRUG ABUSE RESEARCH SCIENTIST DEVELOPMENT AND RESEARCH SCIENTIST AWARDS

### (Career Development ("K") Awards)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 301; Public Law 78-410, as amended (42 U.S.C. 241).

**OBJECTIVES:** To provide support for research relating to the problems of narcotic addiction and drug abuse and to raise the level of competence and to increase the number of individuals engaged in such research via special levels of NIDA support.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Scientist Development and Research Scientist Awards provide support for individuals with research potential who need additional development and/or experience in a productive research environment. available for salary support, and where applicable, allowances for specialized training and research costs. Salary support from the National Institute on Drug Abuse is limited to $30,000 per annum, which may be supplemented by the sponsoring institution from non-Federal funds. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research Scientist Development and Research Scientists Awards are made to appropriate research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, biomedical research institutes, and departments of behavioral science on behalf of individuals who need the opportunity to realize research potentials. The individuals in all cases must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by OMB Circular No. A-102 must be used for grant applicants that are State and local governments.

**Application Procedure:** Required application forms and instructions may be obtained from the National Institute on Drug Abuse. Forms are completed by the applicant and sponsor. Completed applications are reviewed by non-Federal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research scientist development and research scientist awards are recommended for approval by the National Advisory Council for Drug Abuse and approved grants are awarded directly by NIDA to the applicant institution.

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** 240 to 270 days from submission of the application.

**Appeals:** Applicant may revise and resubmit application.

**Renewals:** Research Scientist Development and Research Scientist Awards are made for 5 year periods with renewal dependent upon competitive review.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim Progress Reports annually as part of continuation application; (2) Annual Report of Expenditures at termination of year of support; and (3) Final Invention Statement at end of support.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Fdederal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $994,000; FY 82 est $896,000; and FY 83 est $684,000.

**Range and Average of Financial Assistance:** $25,000 to $42,000; $38,000.

**PROGRAM ACCOMPLISHMENTS:** The National Institute on Drug Abuse received and made 26 awards in FY 1981; and expects to make 22 awards in fiscal year 1982 and 18 awards in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 52; Guidelines included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Headquarters Office (National Institute on Drug Abuse) is responsible for the administration of the program.

**Headquarters Office:** Division of Research, Director, Dr. Marvin Snyder, National Institute on Drug Abuse, PHS, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1887.

**RELATED PROGRAMS:** 13.279, Drug Abuse Research Programs.

**EXAMPLES OF FUNDED PROJECTS:** Epidemiology of Achievement and Psychiatric Status; Development of the Sympathoadrenal Axis; Drugs as Reinforcers: Intake via the Oral Route; Effects of Abused Drugs on Transmitter Release; and Analysis of Actions of Narcotics on GI Motility.

**CRITERIA FOR SELECTING PROPOSALS:** Evidence of candidate's potential to develop and/or perform as an outstanding research scientist, scientific merit of proposed research plans, relevance to NIDA priorities, potential contribution to the national drug abuse problem are considered in determing what projects will be funded.

## 13.278 DRUG ABUSE NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING

## (F31; F32; T32)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title IV, Section 472; Public Law 78-410, as amended, 42 U.S.C. 2891-1.

**OBJECTIVES:** An Individual National Research Service Award provides support to individuals for predoctoral and postdoctoral research training in specified drug related areas; and an Institutional National Research Service Grant provides support to enable non-profit institutions to develop research training opportunities for individuals interested in careers in particular specified drug abuse related fields.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Individual Awards are made to fellows seeking predoctoral or postdoctoral support for full-time research training in biomedical/behavioral shortage areas. An institutional allowance will be provided, upon request, to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training award in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both pre- and postdoctoral trainees. Actual tuition fees are allowable for trainees, and an amount for institutional expenses will be provided. Indirect costs may be requested at 8% of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Short-term training programs in which individuals participate for three months or less and that address special national research training issues are also supported. Under NRS awards, individuals may be supported for up to a maximum of 5 years at the predoctoral level and up to 3 years at the postdoctoral level. Stipend levels will be $5,040 (predoctoral) and $13,380 to $18,780 (postdoctoral) dependent upon the number of years of relevant experience. Research training support may not be used for intern or other clinical training.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Support is provided for predoctoral and postdoctoral academic and research training only, in health and health related areas which are specified by the National Institute on Drug Abuse and include both basic and applied studies in all of the life sciences relevant to drug abuse, as well as research on behavioral, societal factors and the epidemiology of drug use and abuse and special training in experimental design and methodology. (See Preapplication Coordination.) For postdoctoral support, individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Proposed study must result in research training in specified shortage areas, and may offer opportunity to research health scientists, research clinicians, etc. to broaden their scientific background, or to extend their potential for research in health and health-related areas. Applicants must be citizens or non-citizens nationals of the United States, or be admitted to the U.S. for permanent residency; they also must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. For each month for which an individual receives a National Research Service Award which is made for a period in excess of twelve months, such individual shall engage in one month of health research or teaching or any combination thereof which is in accordance with the usual patterns of academic employment. Details of requirement available from awarding component.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant's academic record, research experience, citizenship, institution sponsorship, etc., should be documented in the application form supplied by the National Institute on Drug Abuse, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that Subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the National Institute on Drug Abuse is not mandatory, but is encouraged. Prior to formal application, an applicant for an Individual Award must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Awards provide for training at the Alchol, Drug Abuse and Mental Health Administration, and at non-Federal public and nonprofit, private institution. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for grant applicants that are State and local governments.

**Application Procedure:** Application forms and information concerning current areas of science being supported are available from the National Institute on Drug Abuse, Parklawn Building, Room 10-25, 5600 Fishers Lane, Rockville, MD 20857. Completed forms should be submitted to the Division of Research Grants, NIH, Bethesda, MD 20014. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed for scientific merit by non-Federal consultants recruited nationwide from the drug abuse expertise field. Applications other than fellowships must also be reviewed by the National Advisory Council on Drug Abuse. Fellowships receive a secondary review by NIDA selected staff. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. Students to be supported must submit required forms, including a payback agreement.

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** 5 to 7 months.

**Appeals:** Applications not favorably recommended may be revised and resubmitted. Additional time for review is 5 to 7 months.

**Renewals:** By law, an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** ADAMHA policy limits an application for fellowship support, at either the pre- or postdoctoral level, to three years. In practice, recommendations of review committees are generally for one or two years. Awards for institutional grants may be made for project periods of up to five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports are required; annual report of expenditures required for Institutional National Research Service Grants. Annual reports of activities for trackling pay back provisions are required from all fellows upon termination of support. For Institutional grants a Financial Status Report must be submitted within 90 days after the end of the budget period.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Fellowships and Grants) FY 81 $1,117,000; FY 82 est $816,000; and FY 83 est $891,000.

**Range and Average of Financial Assistance:** Beginning July 1, 1980, Predoctoral stipends: $5,040 Postdoctoral stipends: $13,380 to $18,780 depending on years of relevant postdoctoral experience. Average postdoctoral award $15,846. Institutional grants: $27,690 to $132,856; $69,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 50 applications were received. Twenty-six fellowships and 12 institutional grants were awarded. Twenty-six fellowships and 6 institutional grants are anticipated in fiscal year 1982. Thirty-three fellowships and 4 institutional grants are anticipated in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guidelines included in application kit.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Training, Director, Dr. Lonnie Mitchell, National Institute on Drug Abuse, ADAMHA, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6720. (Use the same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.280, Drug Abuse Clinical or Service Related Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** Programs are supported in the following areas: (1) Development of behavior, (2) Disorders and maladaptive behavior, (3) Social issues relating to drug abuse, and (4) Program evaluation.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit, facilities and environment for the training program, previous training program, previous training records, relevance to NIDA priorities, potential contribution to drug abuse field are considered in determining what programs/individuals will be funded.

## 13.279 DRUG ABUSE RESEARCH PROGRAMS

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title III, Section 301; Public Law 78-410, as amended, 42 U.S.C. 241.

**OBJECTIVES:** To develop new knowledge and approaches to the epidemiology, etiology, diagnosis, treatment, control, and prevention of narcotic addiction and drug abuse through basic, clinical, and applied research, investigations, experiments, and studies.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Research grants provide support for: (a) clearly defined projects or a small group of related research activities, and when appropriate, support of conferences, and translation of publications; (b) large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (c) small-scale ("Small Grants") exploratory and pilot studies, or exploration of an unusual research opportunity. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance program is accordance work provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Investigators affiliated with public or for-profit and nonprofit private agencies, including State, local or regional government agencies, universities, colleges, hospitals, academic or research institutions, and other organizations, may apply for research grants. Small grants are primarily intended for the newer, less experienced investigator, and others who do not have regular research support or resources available from their institution.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of nonprofit status. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication Coordination is not mandatory, but preapplication consultation with the NIDA is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for grant applicants that are State and local governments.

**Application Procedure:** Research grant applications are unsolicited. Application kits containing the necessary forms and instructions, if not available at applicant institution, may be obtained from the National Institute on Drug Abuse. Consultation on a proposed project may also be obtained from the NIDA. Applications are reviewed by non-Federal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of scientific merit of the project as well as financial and programmatic considerations. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research grants in support of projects recommended for approval by the appropriate National Advisory Council and approved for payment are awarded directly by the NIDA to the applicant institution.

**Deadlines:** July 1 and November 1 except for small grants which may be submitted at any time. (Small grant applications for summer support must be received by December 1) (for June starting dates) and by February 1 (for July and August starting dates).

**Range of Approval/Disapproval Time:** 240 to 270 days from submission of grant application.

**Appeals:** Applicant may revise and resubmit grant application.

**Renewals:** Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for additional support via competing continuation application. Small grants are limited to 1 year and are not renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None, but grantees must share some costs. Provisions of HHS's appropriation provide that funds may not be used to pay any recipient of a research grant an amount equal to the entire cost of the project. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small grant support is limited to 1 year and is not renewable. Payments will be made either on a Monthly Cash Request System or a Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) Terminal progress report within 90 days after end of project support; (3) Annual report of expenditures within 90 days after termination of annual grant; (4) Immediate and full reporting of any inventions.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $36,760,000; FY 82 est $29,704,000; and FY 83 est $34,618,000.

**Range and Average of Financial Assistance:** $12,000 to $401,000; $89,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 600 grant applications were received and NIDA awarded 338 research grants. It is estimated that NIDA will award 265 grants in fiscal year 1982 and 274 grants in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR, Part 52; Guidelines are included in applications kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The headquarters office (National Institute on Drug Abuse) is responsible for administration of these research programs.

**Headquarters Office:** Division of Research, Director, Dr. Marvin Snyder, National Institute on Drug Abuse, Alcohol, Drug Abuse, and Mental Health Administration, PHS, DHHS, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857.Telephone: (301) 443-1887 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.277, Drug Abuse Research Scientist Development and Research Scientist Awards.

**EXAMPLES OF FUNDED PROJECTS:** (1) Kinetics of Morphine and its Derivatives; (2) Study of Preteens in a High Risk Community; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; and (5) Biological and Behavior Mechanisms of Addictive and Compulsive Behavior.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit, the feasibility of the research, potential contribution to the national drug abuse problem, and relevance to NIDA priorities are all considerations in determining what projects will be funded.

## 13.280 DRUG ABUSE CLINICAL OR SERVICE RELATED TRAINING PROGRAMS

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 303, Public Law 78-410 as amended, 42 U.S.C. 242a.

**OBJECTIVES:** To support training programs for treatment personnel to work with the drug addict or abuser via multidisciplinary, short-term and specialized grant programs. Programs may be for professionals, paraprofessionals, and ex-addicts to work in drug treatment. Also programs are supported for evaluation of teaching methods for development of new training methods. In addition, support is provided Single State Agencies for Drug Abuse Prevention to assist them in further increasing State capacity to identify and respond to the manpower and training needs of drug workers; this State training support program includes development and implementation of a systems based training model based on a common design, but implemented according to unique State needs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used: (1) to defray institution costs of the training program (personnel, supplies, equipment, travel, and other necessary expenses); and (2) to provide trainee stipends and other allowances (tuition, fees, etc.) for individuals enrolled in the training program. Funds may be used only for expenses directly related to the training program. State training support program grants also allow for development and implementation of an entire systems model that includes needs assessment, resource identification, priority establishment, training delivery, evaluation, credentialing and networking with other agencies. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Training grants are awarded to public or private nonprofit institutions.

**Beneficiary Eligibility:** Trainee stipends may be awarded only to citizens or nationals of the United States, or to persons lawfully admitted for permanent residence. Individuals seeking trainee stipend support must apply directly to and be accepted by the training institution.

**Credentials/Documentation:** Institution providing the basic professional training must have an accredited program before it may award trainee stipends. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not mandatory, but preapplication consultation with the NIDA is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for applicants that are State and local governments.

**Application Procedure:** Training grant applications are unsolicited. Application kits, containing the necessary forms and instructions, as well as consultation on a proposed project, may be obtained from the National Institute on Drug Abuse. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used by applicants that are State and local governments. Applications are reviewed by non-Federal consultants recruited nationwide. Amount of award and period of support are determined on basis of merit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants in support of approved applications are awarded directly to the applicant institution by the National Institute on Drug Abuse.

**Deadlines:** October 1, February 1, and June 1.

**Range of Approval/Disapproval Time:** Approximately 240 to 270 days after submission of application for grant.

**Appeals:** Applicant may revise and resubmit grant application.

**Renewals:** Support of an approved project is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of the project period, grantee may submit application for renewal for a new project period. An application for renewal at support is processed as a new, competing application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Varies, but project period is generally limited to 3 years or less for clinical/service training and 2 to 5 years for State training support. Grantee may apply for renewal of support on a competing basis. Within project period a continuation application must be submitted on a noncompeting basis for each year of support. Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim progress reports annually as part of a noncompeting application for previously recommended support; (2) Terminal progress report within 90 days after end of project support; (3) Annual report of expenditures within 90 days after termination of annual grant.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. A copy of the audit report must be submitted within 30 days. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 (Clinical/Service Training Grants) $1,547,000; (State Training Support Program Grants) $1,684,000; FY 82 est (Clinical/Service Training Grants) $490,000; (State Training Support Program Grants) $1,937,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Clinical/Service Training Grants: $22,972 to $281,099; $79,841 --STSP: $15,384 to $38,460; average $25,792.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 30 Clinical/Service Training applications were received and NIDA awarded 15 grants. In fiscal year 1981, 53 State Training Support Program grants were awarded. It is anticipated that a total of 4 Clinical/Service Training grants and 53 State Training Support Program grants will be awarded in fiscal year 1982. No grants are proposed for fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Training Grant Regulations, 42 CFR, Part 64; Guidelines are included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Headquarters Office (National Institute on Drug Abuse) is responsible for the administration of these drug abuse training programs.

**Headquarters Office:** Division of Training Director, Dr. Lonnie Mitchell, Alcohol, Drug Abuse, and Mental Health Administration, National Institute on Drug Abuse, Parklawn Building, 5600

Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6720 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.277, Drug Abuse Research Scientist Development and Research Scientist Awards; 13.278, Drug Abuse National Research Service Awards for Research Training; 13.279, Drug Abuse Research Programs.

**EXAMPLES OF FUNDED PROJECTS:** (1) Training of health or health-related professionals for work in the narcotic addiction and drug abuse field; (2) continuing education; (3) inter-agency and interdisciplinary training; (4) in-service training for treatment program staff; (5) external degree competency-based training for paraprofessionals, and development by community colleges of curricula to be used by Single State Agencies and (6) State development and implementation of manpower and training plans including needs assessment, resource identification, priority establishment, training delivery, evaluation, credentialing and networking with other agencies.

**CRITERIA FOR SELECTING PROPOSALS:** Training proposals will be favored which enhance the capacity and effectiveness of the National Institute on Drug Abuse's treatment and rehabilitation services. It is the goal of NIDA to improve the geographic distribution and balance of existing manpower resources and more effective utilization of such resources. Programs should address the needs of poverty communities and should have on program staff and among trainees representatives from these communities. Another criterion that is given weight in assessing proposals is their congruence with high standards of program quality. Technical merit of proposal, relevance to NIDA treatment and rehabilitation services priorities, competence of proposed project staff, suitability of facilities and environment are considered in determining what projects will be funded. State training support program proposals should address each of the training systems model elements based on the unique characteristics of the State and its Single State Agency. Proposals should include documentation of past accomplishments, specific objectives for the grant funding period and realistic action plans for using all available resources for reaching the objectives. Reviewers focus on continuity of effort and capacity development as documented in the proposal.

## 13.281 MENTAL HEALTH RESEARCH SCIENTIST DEVELOPMENT AND RESEARCH SCIENTIST AWARDS

### (Career Development ("K") Awards)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Section 301, Public Law 78-410 as amended; 42 U.S.C. 241.

**OBJECTIVES:** To provide support for research relating to the problems of mental illness and mental health and to raise the level of competence and to increase the number of individuals engaged in such research via special levels of National Institute of Mental Health support.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Scientist Development and Research Scientist Awards provide support for individuals with research potential who need additional development and/or experience in a productive research environment. Funds are available for salary support, and where applicable, allowances for specialized training and research costs. Salary support from the National Institute of Mental Health is limited to $30,000 per annum, which may be supplemented by the sponsoring institution from non-Federal funds. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research Scientist Development and Research Scientist Awards are made to appropriate research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, biomedical researh institutes, and departments of behavioral science on behalf of individuals who need the opportunity to realize research potentials. The individuals in all cases must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for applicants that are State and local governments.

**Application Procedure:** Required application forms and instructions may be obtained from the National Institute of Mental Health. Forms are completed by the applicant and sponsor. Completed applications are reviewed by non-Federal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research scientist development and research scientist awards are recommended for approval by the National Advisory Mental Health Council and those approved are awarded directly by NIMH to the applicant institution.

**Deadlines:** October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** 240 to 270 days from submission of the application.

**Appeals:** Applicant may revise and resubmit application.

**Renewals:** Research Scientist Development and Research Scientist Awards are made for 5 year periods with renewal dependent upon competitive review.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports must be submitted as follows: (1) Interim Progress Reports annually as part of continuation application; (2) Annual Report of Expenditures at termination of year of support; and (3) Final Invention Statement at end of support.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions." These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $5,349,000; FY 82 est $4,500,000; and FY 83 est $6,131,000.

**Range and Average of Financial Assistance:** $15,000 to $39,852; $37,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 203 applications were received. NIMH funded 138 awards in fiscal year 1981, and expects to fund 114 in fiscal year 1982, and 153 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 52. Guidelines included in application kits: "Guidelines for the Research Scientist Development and Research Scientist Award Program of the Alcohol, Drug Abuse, and Mental Health Administration." No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Headquarters Office (National Institute of Mental Health) is responsible for the administration of the program.

**Headquarters Office:** Dr. Louis Wienckowski, Director, Division of Extramural Research Programs, National Institute of Mental Health, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4347 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.242, Mental Health Research Grants; 47.051, Biological, Behavioral, and Social Sciences.

**EXAMPLES OF FUNDED PROJECTS:** Cortical processes in perception and memory, Regulatory mechanisms in brain maturation, Chemical factors in abnormal behavior, Hemispheric specialization of higher functions in man, and Theory and measurement of ego development.

**CRITERIA FOR SELECTING PROPOSALS:** Potential to develop and/or perform as outstanding research scientist, scientific merit of proposed research plans, relevance to NIMH priorties, potential contribution to the mental health field, are considered in determining what projects will be funded.

## 13.282 MENTAL HEALTH NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING

## (F31; F32; F34; T32; MARC)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title IV, Section 472; Public Law 78-410 as amended; 42 U.S.C. 289l-1.

**OBJECTIVES:** An individual National Research Service Award provides support to individuals for predoctoral and postdoctoral research training in specified mental health related areas; and an Institutional National Research Service Grant provides support and enables nonprofit institutions to develop research training opportunities for individuals interested in careers in a particular specified mental health related field. The Minority Access to Research Careers Programs (MARC) are intended to assist institutions with substantial minority enrollment in the training of greater numbers of scientists and teachers in fields related to mental health, alcoholism, and drug abuse. Priority is given to programs which enhance the research skills of clinical investigators, develop minority researchers and to programs which involve field experience in a mental health clincical or service setting.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Individual awards are made to fellows seeking predoctoral or postdoctoral support for full-time research training in biomedical/behavioral shortage areas related to mental health. An institutional allowance will be provided, upon request, to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training award in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both pre- and postdoctoral trainees and will include an amount for institutional expenses. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. In the behavioral sciences, priority is given to support at the postdoctoral level; only limited support is available at the predoctoral level. Short-term training programs in which individuals participate for three months or less and that address special national research training issues are also supported. Stipend levels will be $5,040 (predoctoral) and $13,380 - $18,780 (postdoctoral) dependent upon the number of years of relevant experience. Research training support may not be used for intern or other clinical training. MARC Faculty Fellowships are for selected faculty members of institutions with substantial minority enrollment for advanced research training in specified areas of research related to mental health, alcoholism, and drug abuse. It is intended the fellowship recipients will return to their home institution to teach and conduct research, and to inspire and assist students to prepare for professional and research careers. The amount of the stipend awarded under the faculty fellowship will be commensurate with the salary or remuneration that the fellow would have been entitled to receive from his or her home institution, on the date of acceptance of the fellowship, except in no case shall the stipend exceed $25,000 annually. When an individual award is for approved training involving research at sites other than the sponsoring institution, an allowance may be requested to help support field costs of the research as well as travel. MARC Honors Undergraduate grants are to increase the number of well-prepared students from institutions with substantial minority enrollments who can compete successfully for entry into Ph.D. degree programs in disciplines related to mental health, alcoholism, and drug abuse; and to help develop and strengthen biological, psychological, behavioral, and/or public health sciences curricula and research training opportunities in order to prepare students for research careers related to mental health, alcoholism, and drug abuse. Stipends of $3,900 per year may be requested for each trainee and other related institutional costs may be requested.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Support is provided for predoctoral and postdoctoral academic and research training only, in mental health and mental health-related priority areas which are specified by the National Institute of Mental Health and includes biological sciences, behavioral sciences, incidence and prevalence (epidemiology) clinical sciences (etiology, description, diagnosis, and pathogenesis) treatment development, assessment and evaluation, prevention and services research. (See Preapplication Coordination.) For postdoctoral support, individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree.) Proposed study must result in research training in specified shortage areas, and may offer opportunity to research health scientists, research clinicians, etc. to broaden their scientific background, or to extend their potential for research in health related-areas. Applicants must be citizens of the United States, or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. For each month for which an individual receives a National Research Service Award which is made for a period in excess of twelve months, such individual shall engage in one month of health research or teaching or any combination thereof which is in accordance with the usual patterns of academic employment. Details of requirement available from awarding component. For MARC Programs domestic, public or non-profit private institutions may apply. For purposes of meeting the program objectives to increase the number of minority students who will eventually engage in research training, the applicant institution must also be a four-year college, univesity, or health professional school whose student enrollment is drawn substantially from ethnic monority groups (such as American Indian or Alaskan Native; Asian or Pacific Islander; Black, not of Hispanic origin; and Hispanic). Trainee candidates for the Honor Undergraduate program must be outstanding students in their third or fourth year of a baccalaureate degree program and meet the same citizenship requirements of other National Research Service Awards programs. MARC supported undergraduate trainees are not required to meet the payback requirements of the National Research Service Awards program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant's academic record, research experience, citizenship, institution sponsorship, etc. should be documented in the application form supplied by the National Institute of Mental Health. Costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. Section 74.171 of that Subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with NIMH Staff is not mandatory but is encouraged. Prior to formal application, an applicant for an individual award must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Awards provide for training at the Alcohol, Drug Abuse, and Mental Health Administration, and at non-Federal public and nonprofit, private institutions. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms and information concerning current areas of science being supported are available from the NIMH, 5600 Fishers Lane, Rockville, MD 20857. Completed forms should be submitted to the Division of Research Grants, NIH, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed for scientific merit by non-Federal consultants recruited nationwide from the mental health field. Applications other than fellowships must also be reviewed by the National Advisory Mental Health Council. Fellowships receive a secondary review by NIMH selected staff. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. Students to be supported must submit required forms, including a payback agreement.

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** 5 to 7 months.

**Appeals:** Applications not favorably recommended may be revised and resubmitted. Additional time for review is 5 to 7 months.

**Renewals:** By law, an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory fomula.

**Length and Time Phasing of Assistance:** ADAMHA policy limits an application for fellowship support, at either the pre- or postdoctoral level, to three years. In practice, recommendations of review committees are generally for one or two years. Awards for institutional grants may be made for project periods of up to five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports are required. Reports of expenditure are required for Institutional and MARC honors undergraduate National Research Service Grants. Annual reports of activities for tracking payback provisions are required from all fellows and trainees upon termination of support.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards including the standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions". These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record retention requirement; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $19,055,000; FY 82 est $15,817,000; and FY 83 est $14,867,000.

**Range and Average of Financial Assistance:** Predoctoral stipends $5,040 average predoctoral stipend $5,040. Postdoctoral stipends $13,380 to $18,780; average postdoctoral stipend $15,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 562 applications were received. There were 177 Individual Awards and 191 Institutional Grants funded in fiscal year 1981 for NRSA research training, and 155 Individual Awards and 129 Institutional Grants are estimated for fiscal year 1982 and 142 Individual Awards and 106 Institutional grants are projected for 1983. Five MARC grants were awarded in fiscal year 1981 and the same number is anticipated to e awarded in FY 1982 and FY 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 66; Program announcements are included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Institute of Mental Health, Dr. Louis Wienckowski, Director, Division of Extramural Research Programs. Telephone: (301) 443-4347. Dr. Juan Ramos, Director, Division of Special Mental Health Programs. Telephone: (301) 443-3533. (Use same 7-digit number for FTS). Dr. Darrell A. Regier, Director, Division of Biomiometry and Epidemiology.

**RELATED PROGRAMS:** 13.244, Mental Health Clinical or Service Related Training Grants.

**EXAMPLES OF FUNDED PROJECTS:** Mental health statistics, normal and atypical development, personality and psychopathology, neuropsychobiology, mental health service delivery research and evaluation.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit, facilities and environment for the training program, previous training records, relevance to NIMH priorities, potential contribution to mental health field are considered in determining what programs/individuals will be funded.

## 13.283 CENTER FOR DISEASE CONTROL—INVESTIGATIONS, AND TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Sections 301, 307, 310, 311, 317(j) (4), 322(e), 325, 327, 328, 352, and 361 thru 369 of the Public Health Service Act; the Federal Mine Safety and Health Act of 1977, the Occupational Safety and Health Act of 1970; and the Omnibus Budget Reconciliation Act of 1981, P.L. 97-35.

**OBJECTIVES:** To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and by providing leadership and coordination of joint national, State, and local efforts.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** To strengthen State and local disease prevention control programs, such as tuberculosis childhood immunization, and venereal disease, and to reduce the death and disability associated with cigarette smoking. Services: epidemic aid; technical assistance (field studies and investigations of ongoing disease occupational safety and health); consultation; dissemination of technical information; provisions of specialized services and assistance, including responses to public health emergencies such as Love Canal and Mount St. Helens. Training: training State and local health professionals in broad areas of epidemiology, at State's request, in such specific areas as hospital infections, rabies, hepatitis, and venereal disease.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of states, local health authorities, and individuals or organizations with specialized health interests.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for applicants that are State and local governments and OMB Circular No. A-110 or other eligible applicants. When included in individual program announcements applications are subject to review in accordance with the National Health Planning and Resources Development Act, Public Law 93-641, as amended, and OMB Circular No. A-95.

**Application Procedure:** Depending upon the assistance required, application is made by letter or telephone to the State epidemiologist in the State Health Department or to the CDC representative in the appropriate HHS Regional Office. Requests for training and specialized services and assistance, should be submitted to the Director, Centers for Disease Control. International assistance should be submitted to the Director, Centers for Disease Control. Requests for assistance in the area of Occupational Safety and Health should be submitted to the Director, Occupational Safety and Health, National Institute for Occupational Safety and Health, CDC, PHS, Parklawn Building, Room 8-05, 5600 Fishers Lane, Rockville, MD 20857.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** None.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Services) FY 81 $156,139,000; FY 82 $85,443,000; and FY 83 est $101,043,000.

**Range and Average of Financial Assistance:** Limited resources dependent on usual health effects and needs.

**PROGRAM ACCOMPLISHMENTS:** In 1980, the diabetes control program was expanded from 12 to 20 States, the nutrition surveillance system was expanded from 25 to 30 States. In 1981, it provided technical assistance and cooperative agreement funds to 20 states for diabetes control. The provisional number of reported cases of tuberculosis decreased from 27,983 in 1980 to 27,412 in 1981. Final reports will be available later this year. Over 15,000 analyses of toxic samples were received in response to 40 outbreaks such as DDT and PCB contamination of the water supply in Triana, Alabama and exposure to herbicidal spray in Steubenville, Ohio. Over 300 draft and final Environmental Impact Statements were reviewed and comments furnished to the appropriate agencies and written commentary was provided to the EPA on 12 different sets of Regulations. In 1980, continued expanded studies of the bacterium causing Legionnaires' disease in an effort to characterize the organism and to improve methodology for early detection. The Epidemic Intelligence Service was maintained to provide epidemic assistance to States and initiated approximately 1,700 investigations and consultations at the request of States. Approximately 2-1/2 million reference diagnostic determinations were made on specimens representing diagnostic capabilities which are not available at the State level. In 1980, 30,810 tests were performed on 542 microbiological and immunological nonvenereal disease commercial products and 485 venereal disease commercial products. Provided training in all disciplines of laboratory diagnostic services including microbiology, clinical chemistry, hemotology, and pathology. In addition to providing training for 800 Federal, State, and local venereal disease control workers, technical assistance focused on strengthening control efforts, and was provided to State and local programs through 33 in-depth, on-site reviews and 130 other consultations during 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Morbidity and Mortality Weekly Reports" and annual supplement, no charge; various surveillance reports, no charge; rubella information packet, no charge; weekly summary, countries reporting certain diseases for which quarantine action may be required, no charge; "Health Information for International Travel" (PHS 2045) $0.10 each or $6.50 per hundred obtainable through the Superintendent of Documents, Government Printing Office, Washington, DC. Available Tuberculosis Publications: "Tuberculosis" (Pamphlet-no charge), "Tuberculosis in the U.S." (no charge), "Tuberculosis statistics: States and Cities" (no charge), "Guidelines for Prevention of Tuberculosis Transmission in Hospitals" no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. William H. Foege, Director, Center for Disease Control, PHS, DHHS, 1600 Clifton Rd. N.E., Atlanta, GA 30333. Telephone: (404) 329-3291.

**RELATED PROGRAMS:** 13.224, Community Health Centers; 13.262, Occupational Safety and Health Research Grants; 13.268, Childhood Immunization Grants; 13.988, Cooperative Agreements for State-Based Diabetes Control Programs.

**EXAMPLES OF FUNDED PROJECTS:** Cooperative agreements for detecting the health effects on toxic chemical waste dumps and ash from Mount St. Helens. Developmental assistance contracts; Legionnaire's Disease; Study on the Efficacy of Nosocomial Infection control (SENIC); Parasitic Disease Drug Service; Operate the only active Smallpox Diagnostic and Research Laboratory in the world.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.288 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM

### (NHSC Scholarship Program)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III; Section 338A-338F, as amended; the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To assure an adequate supply of physicians, dentists, and other health professionals for service in the National Health Service Crops in health manpower shortage areas as members of the United States.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Scholarships support students who pursue full-time courses of study in health professions schools. Based on the current needs of the National Health Service Corps, scholarships are offered to students in U.S. schools of medicine, osteopathy, dentistry, and other health related disciplines as may be needed from year to year. Scholarships may not be awarded to students who have conflicting service obligations after graduation or who are not U.S. citizens. Recipients are required to perform one year of obligated service for each year of support with a minimum of 2 years obligated service. Deferment for internship, residency or other advanced clinical training for medical, osteopathy, and dental students is generally not to exceed three years, or, consistent with the needs of the National Health Service Corps, such greater period as the Secretary may approve.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants must be accepted by an accredited U.S. educational institution for a full-time course of study leading to a degree in medicine, osteopathy, dentistry, or other participating health profession; be eligible for, or hold, an appointment as a commissioned officer in the Regular or Reserve Corps of the Public Health Service or be eligible for civilian service in the National Health Service Corps; submit application and signed contract to accept payment of a scholarship and to serve for the applicable period of obligated service in a health manpower shortage area.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Dental and Nursing (BSN and Masters degree) and Public Health Nutrition applicants for a scholarship provide transcripts of their latest academic work. All incoming freshmen and all Nursing (BSN and Masters) and Public Health Nutrition students provide copies of letters accepting them for enrollment in school. DAT's also are required for 1st and 2nd year dental applicants.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Students must be given a fair summary of the rights and liabilities of student applicants; This summary is included in the application packet. Applications are available directly from program up to 2 weeks before the application deadline.

**Application Procedure:** Application and a signed contract are submitted to the administering Program Office.

**Award Procedure:** Priority will be given to applicants who are prior recipients and former recipients of the Scholarship for First-Year Students of Exceptional Financial Need. Special consideration is given to incoming first-year students whose specialty plans are in primary care fields. Criteria which determine competitive ranking for awards may include: (1) work experience--preferably health related--in communities of health care need; (2) personal background from a community of health care need; (3) career goal of primary care practice in health manpower shortage areas; and (4) academic performance. Student financial need does not affect selection.

**Deadlines:** Deadlines for receipt of applications for each new academic year are established at the time of distribution of the application and are usually 30 to 45 days after distribution, usually about the end of May.

**Range of Approval/Disapproval Time:** Notification to successful and rejected applicants is made 2 to 2 1/2 months after deadline for receipt of application.

**Appeals:** None.

**Renewals:** Contracts are for one year of support and year-by-year extensions may be made until graduation, as long as eligibility is maintained, subject to the availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** No students may receive more than a total of 4 years of support. Each award covers one academic year of support.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports by schools indicating average student educational expenses by class year determine amount to be paid awardees each year for books, supplies, equipment, etc.

**Audits:** None.

**Records:** Unsuccessful applicants--files retained 6 months after application deadline. Successful applicants--files retained until completion of obligated service (6 to 13 years).

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $63,400,000; FY 82 est $27,800,000; and FY 83 est $11,042,000.

**Range and Average of Financial Assistance:** Monthly stipend payment for the 1982-83 school year (FY82) is $556 for 12 months, with stipends for later years reflecting annual cost-of-living increases in Federal General Schedule (GS) salaries. Payment to school of tuition and related fees. Payment to student for all other reasonable educational expenses based upon average for awardees' school and class year, as reported by school. Average award for fiscal year 1981 was estimated to be $14,465 and for fiscal year 1982, $11,503.

**PROGRAM ACCOMPLISHMENTS:** For school year 1981-82, first-time awards were limited to 162 former participants in the Scholarships for First-year Students of Exceptional Financial Need Program. There were also approximately 4,325 continuation awards made from FY 1981 funds. Over 13,200 new awards have been made since the 1973-74 school year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 62.1-14 was published on August 20, 1980, but changes are required due to legislative amendment. Information Bulletin published annually and Program Fact Sheets available at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Health Service Corps Scholarship Program, Bureau of Health Personnel Development and Service, Health Services Administration, PHS, DHHS, Center Building, 3700 East-West Highway, Hyattsville, MD 20782. Student inquiry phones: tollfree (800) 638-0842, from Maryland, Hawaii or Alaska call collect: (301) 436-6453 (Use same 7-digit number for FTS). Contact: Allan S. Noonan, M.D., Program Director.

**RELATED PROGRAMS:** 13.108, Health Education Assistance Loans; 13.258, National Health Service Corps; 13.297, National Research Service Awards; 13.342, Health Professions Student Loans; 13.820, Scholarships for First-Year Students of Exceptional Financial Need Program; 13.972, Health Professions Scholarship Program for Indians; 13.973, Special Loans for Former NHSC Members to Enter Private Practice.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.289 PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS

**FEDERAL AGENCY:** PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Executive Order 11562, December 28, 1978.

**OBJECTIVES:** To promote a national program of physical fitness for Americans of all ages by encouraging the development, implementation and improvement of physical fitness programs at all levels of responsibility. Accomplished through the provision of professional consultation, technical assistance, publications and public information, program evaluation and development to school systems, government agencies, employee organizations, industrial organizations, recreation and park departments and others who wish to introduce or to improve physical fitness programs.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Professional consultation and technical assistance in the design, development and implementation of physical fitness programs and programs designed to expand exercise and sports participation opportunities. The limitations are fundamentally those imposed by the comparatively small size of the professional staff of the Council; in addition, the Council does not render this service to organizations for whom physical fitness is a commercial interest. The consultation includes analysis of requirements, fitness program development, advice as to facilities needs, knowledge of appropriate equipment, including quality and certain limited inservice training of the personnel through institutes and physical fitness clinics. Information material includes pamphlets, program publications, newsletters and, annually, not less than two public service advertising campaigns stressing youth and adult physical fitness. The Council has developed publications on youth, adult and senior citizens' physical fitness activities which are available from the Council and/or the Government Printing Office. The public service advertising campaigns include TV, radio and printed material.

**ELIGIBILITY REQUIREMENTS:** Not applicable.

**Applicant Eligibility:** General public.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:** Not applicable.

**Preapplication Coordination:** None.

**Application Procedure:** Standard written or oral inquiry addressed to the Council.

**Award Procedure:** Not Applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no stautory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1101-0-1-550.

**Obligations:** (Salaries and expenses) FY 81 $814,000; 82 est $960,00; and FY 83 est $1,100,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, more than 20.0 million Americans participated in PCPFS sponsored programs and more than 50 million were exposed to such programs. Approximately eighteen million boys and girls, ages 10-17, took part in the Presidential Physical Fitness Award Program, with over 700,000 of them actually winning the award. Additional participation was accounted for by regional clinics, medical seminars, and leadership training sessions. The first National Conference on Physical Fitness and Sports was held in Washington, D.C. The PCPFS responded to 60,000 plus individual requests for information and assistance. In addition, physical fitness advertising materials were provided to 700 TV stations, 5,000 radio stations, and more than 4,000 magazines. The PCPFS was the catalytic agent for several major fitness programs launched by the private sector and by other government agencies. In fiscal years 1981 and 1982 the public media information spots and publications will be developed commensurate with increase/decrease in funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:** E.O.11562, "Youth Physical Fitness"; "The Fitness Challenge, in the Later Years"; "Presidential Physical Fitness Awards"; "An Introduction to Physical Fitness"; "What Physicians Say About Physical Education"; "Physical Fitness in Business and Industry." "One Step At A Time"; Physical Education Checklist" "Flexibility", "Walking", "Fitness in the Workplace" "Strength", Bicycling".

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** President's Council on Physical Fitness and Sports, Washington, DC 20201. Telephone: (202) 755-8801 (Use same 7-digit number for FTS). Contact: Glenn V. Swengros.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.293 STATE HEALTH PLANNING AND DEVELOPMENT AGENCIES

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title XV, Part C, Public Health Service Act, as amended by Public Law 96-79, 42 U.S.C. 300m.

**OBJECTIVES:** To provide support to the State health planning agencies conducting physical and mental health planning and development functions prescribed by Section 1523 of the Act.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used by a State health planning and development agency in meeting the cost of its operation, to include the administration of the State administrative program and assisting the Statewide Health Coordinating Council in the performance of its functions. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State as defined in 42 CFR 123, subpart A, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Trust Territory of the Pacific Islands, American Samoa and the Northern Mariana Islands, may apply for a designation agreement and grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants must provide assurances satisfactory to the Secretary that the agency selected by the Governor has the authority and resources to perform functions prescribed by the Act and regulations and must submit a State administrative program for the performance of functions. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants must file a notice of intent to apply for Federal assistance with the appropriate State and areawide A-95 clearinghouse and PHS regional office, and must publish notice of a public meeting affording the general public of the State a reasonable opportunity to express their views on the proposed State administrative program. Applications are subject to HSA, SHCC, State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications are submitted to the PHS regional offices and shall be executed by an officer or employee of the State officially authorized to act for the applicant agency and to assume on behalf of the agency the obligations imposed by the Act or regulations.

**Award Procedure:** Awards issued by the Regional Health Administrators in support of functions to be performed as authorized by a designation agreement executed by the Regional Health Administrator for the Administrator, HRA, and the Governor of the State or his designee. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** A common award date of July 1 of each fiscal year has been established. Application must be submitted no later than 90 days prior to July 1 in accordance with a time schedule established by the appropriate Regional Office.

**Range of Approval/Disapproval Time:** Approximately 12 weeks from date the application is submitted.

**Appeals:** When a decision has been made not to renew a designation agreement, to return an agency from full to conditional designation or to terminate a designation agreement, the applicant/grantee must be afforded the opportunity for a hearing. An agreement may be terminated only after the agency has been given 90 days written notice of its deficiencies and the corrective action required.

**Renewals:** Designation agreements may be renewed for a period not to exceed 36 months.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount of the grant award for eac State is based on the product of the percentage of the State's population to the total of all the states, the Secretary's estimate of the amount required by the State Agency to carry out its approved State administrative programs, or the amount requested by the applicant, whichever is less and the amount of the grant award may not exceed 75 percent of the operating costs. The statistical factor used for fund allocation is the State population and the source is "Current Population Reports", P-25, Bureau of the Census. Statistical factors used for eligibility do not apply to this program. This program has Maintenance of Effort (MOE) requirements, see funding agencies for further details.

**Length and Time Phasing of Assistance:** The period of support may not exceed 12 months but may be renewed annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual financial status report is to be submitted to the Regional Health Administrator not later than 90 days after the end of the grant period.

**Audits:** Audits of all DHHS programs are performed by the Department.

**Records:** Financial records, supporting documents, statistical records and all other records pertinent to the grant or to a subgrant (or negotiated contract over $2,500) shall be retained for a period of 3 years after the end of the budget period or until an audit has been performed whichever is less or until resolution of any audit findings.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $31,680,000; FY 82 est $19,200,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $161,020 to $2,560,135; $564,985.

**PROGRAM ACCOMPLISHMENTS:** By the end of fiscal year 1981, 45 State agencies were fully designated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 123 Subparts A,B,C,D, E, F, and G govern designation, Statewide Health Coordinating Councils, grants, Certificate of Need and Review of New Institutional Health Services for State Health Planning and Development Agencies and review of existing Institutional Health Services for appropriateness. Guidelines for the development of State health plans are available. Subsequent regulations and guidelines will deal in detail with SHPDA functions and activities.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrators in the 10 DHHS regional offices. See Appendix IV for lists of addresses.

**Headquarters Office:** Acting Director, Bureau of Health Planning, Center Building, 3700 East-West Highway, Hyattsville, MD 20782. Contact: Mr. William Berry. Telephone: (301) 436-6850.

**RELATED PROGRAMS:** 13.294, Health Planning—Health Systems Agencies.

**EXAMPLES OF FUNDED PROJECTS:** All projects are essentially the same - one for each State, as defined in 42 CFR 123, subpart A.

**CRITERIA FOR SELECTING PROPOSALS:** State Governor designates agency with the concurrence of the Secretary of HHS. Consult REGULATIONS, GUIDELINES, AND LITERATURE.

## 13.294 HEALTH PLANNING—HEALTH SYSTEMS AGENCIES

### (Health Systems Agencies; HSA)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title XV, Part B, of the Public Health Service Act; as amended by Public Law 96-79, 42 U.S.C. 300 (1) 2.

**OBJECTIVES:** To provide for effective health resources planning at the area level to meet problems in health care delivery systems, maldistribution of health care facilities and manpower, and increasing cost of health care.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds shall be used by a Health Systems Agency for compensation of agency personnel, collection of data, planning, and the performance of the functions of the agency specified in Sections 1512 and 1513 of the Act either directly or through contracts. Funds shall not be used to provide health services or to make payments under a grant or contract for the delivery of health services or the development or construction of health care facilities or other resources. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** One Health Systems Agency (HSA) will be designated in each health service area designated under Section 1511. An applicant must be 1) a private nonprofit corporation or 2) a single unit of general local government or 3) a regional planning body. It must be authorized to carry out health planning and resources development activities for its area. A public entity (as indicated in two and three above) must create a separate governing body to carry out the health planning function; it and the governing body of a private corporation must meet detailed structural and compositional requirements of the law (Section 1512) and regulations (42 CFR Part 122B). Hawaii and Rhode Island are eligible under Section 1536 of the Act to apply for additional grant support to perform HSA functions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must submit evidence of legal status, by-laws, operating rules, proposed work program to assume functional responsibilities, evidence of public involvement in the creation of an agency, report of public meetings held to discuss agency and application, etc. Application must be submitted to State and area A-95 clearinghouses, Statewide Health Coordinating Councils and to Governor(s) at time of submission to DHHS. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs are determined under 45 CFR Part 74, Subpart Q, for other grantees.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Applicant must notify Governor(s) of intent to apply for HSA designation and request description of issues and procedures which the Governor(s) consider necessary to address. Letters of Intent must also be filed with State and areawide A-95 clearinghouses and with PHS Regional Health Administrator. Proposed application must be the subject of adequately published public meeting; copies must be sent to Governor(s), Regional Health Administrators, and areawide Clearinghouses, if required. After the public meeting, the applicant may prepare the final application. Regional Health Administrators can provide technical assistance to potential applicants.

**Application Procedure:** A final application is submitted to the Regional Health Administrator with copies for review and comment to Governor(s), State health planning & development agencies, and Health Systems Agencies. This program is subject to the provisions of OMB Circular No. A-110 for private nonprofit agencies or A-102 for public agencies, as applicable. Administrator, HRA, has designation approval/disapproval authority. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Award Procedure:** Regional Health Administrator will enter into a designation agreement for the Administrator, HRA, with each entity whose application has been approved, specifying functions to be undertaken; will issue the Notice of Grant Award; and will notify the Governor(s), the public and the necessary DHHS agencies of the action taken. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the Federal Register for new applicants.

**Range of Approval/Disapproval Time:** Approximately 90 days from application deadline.

**Appeals:** None on new applications; appeals are made to the Secretary on termination of, return from full to conditional designation or failure to renew full designation.

**Renewals:** Designation agreements may be renewed for a period not to exceed 36 months. A maximum period of 36 months is permitted for conditionally designated agencies to meet the requirements for full designation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula for HSAs; up to $0.60 per capita for FY 80 without additional Federal funding for eligible Nonfederal collections, with minimum to conditionally and fully designated HSA of $245,000 in FY 81 and $100,000 in FY 82, subject to appropriation. Agency can apply for additional Federal funds up to 25 per capita or $200,000, which ever is greater, based on eligible collected non-Federal funds. Sources of non-Federal funds are limited. The statistical factor used for the allocation of funds is the State population in health service areas and the source is "Current Population Reports", P-25, Bureau of the Census. Statistical factors for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Period of support may not exceed 12 months, but is renewable annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual report to community, Governor(s) and DHHS; annual financial status report within 90 days of end of budget period.

**Audits:** Audits of all DHHS programs are performed by the Department.

**Records:** Financial records, supporting documents, statistical records and all other records pertinent to the grant or to a subgrant (or negotiated contract over $2,500) shall be retained for a period of 3 years after the end of the budget period or until an audit has been performed, whichever is less or until resolution of any audit findings.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $82,880,000; FY 82 est $37,731,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Minimum grant to designated agencies was $245,000 in FY 1981.

**PROGRAM ACCOMPLISHMENTS:** There were 200 HSAs achieving full designation prior to the end of fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 122, Subparts A, B, and C, govern designation and funding of HSAs. Subpart D governs procedures and criteria for review of new institutional health services. Subpart E governs reviews of certain proposed uses of Federal health funds, and Subpart F governs reviews of existing health services for appropriateness. Guidelines for development of health systems plans and annual implementation plans are available. Subsequent regulations and guidelines will deal in detail with HSA functions and activities.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator in the 10 DHHS regional offices. See Appendix IV for the list of regional offices.

**Headquarters Office:** Acting Director, Bureau of Health Planning, Health Resources Administration, Public Health Service, Department of Health and Human Services, Center Building, 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-6850 (Use same 7-digit number for FTS). Contact: Mr. William Berry.

**RELATED PROGRAMS:** 13.293, State Health Planning and Development Agencies.

**EXAMPLES OF FUNDED PROJECTS:** Grants to local govermental bodies, public regional planning units, and private nonprofit organization for the conduct of health planning activities.

**CRITERIA FOR SELECTING PROPOSALS:** The Secretary, HHS, designates entities to be funded as HSAs based upon a determination of the potential ability of that entity to meet requirements of Section 1512 (b), and its capacity to perform the functions prescribed by Section 1513 of Public Law 93-641.

## 13.297 NATIONAL RESEARCH SERVICE AWARDS

### (Nurse Fellowships; Pre-and Postdoctoral Institutional Awards)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title IV, Section 472; 42 U.S.C. 2891-1, as amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To prepare qualified professional nurses to conduct nursing research, collaborate in interdisciplinary research, and function as faculty in Schools of Nursing at graduate level.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To provide up to 5 years of support in the aggregate, for full-time predoctoral study, and 3 years for postdoctoral study. Trainees must sign payback agreement to serve for a period of time equal to period of support in excess of 12 months.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individual must be a registered professional nurse with either a baccalaureate and/or a Master's degree in nursing; must be a citizen of U.S. or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. Applicants for postdoctoral study must have received Ph.D., D.N., Sc.D., or equivalent prior to beginning date of proposed fellowship. Institution must be capable of providing research training opportunities for nurses.

**Beneficiary Eligibility:** Individual, as indicated above, receives stipend; sponsoring institution receives funds to cover tuition, health insurance, and some research costs.

**Credentials/Documentation:** Licensure as registered professional nurse, and appropriate educational background.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Fellowship application form sent by the Division of Nursing upon request by individual applicant.

**Award Procedure:** Funds are awarded to approved applicant and sponsoring institution.

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** From 4 to 6 months.

**Appeals:** Not applicable.

**Renewals:** Annual.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Up to 3 years for postdoctoral, 5 years for predoctoral study renewable annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Scholastic transcripts, sponsor's progress report.

**Audits:** Records must be available for audit by Comptroller General and Secretary of DHHS.

**Records:** Institution must keep records for 3 years after end of budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $988,015; FY 82 est $960,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Predoctoral: $8,040 average (per annum); Postdoctoral: $17,000 average (per annum); Institutional Awards: Range $24,150 to $55,500.

**PROGRAM ACCOMPLISHMENTS:** There were 139 applications received, and 85 approved in fiscal year 1980. There were 115 individual awards (47 new, 68 continuations) and 1 institutional award made in fiscal year 1981. It is estimated the same number of awards will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet; Announcement for National Research Service Awards (NRSA) Guidelines for NRSA. Revised Federal regulations to be published.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Offices (see Appendix IV) will provide additional information.

**Headquarters Office:** Chief, Research Training Section, Division of Nursing, BHPr, HRA, Center Building, Room 3-50, 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr. Adele Wood, Telephone: (301) 436-6204. Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** 13.358, Professional Nurse Traineeships.

**EXAMPLES OF FUNDED PROJECTS:** Students enrolled in doctoral programs in nursing, educational psychology, sociology, anthropology, and biomedical sciences.

**CRITERIA FOR SELECTING PROPOSALS:** Qualifications of applicant, quality of program of study, resources of institution, significance of proposed research, and subject of study: nursing, biomedical and behavioral research.

## 13.298 NURSE PRACTITIONER TRAINING PROGRAM AND NURSE PRACTITIONER TRAINEESHIPS

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title VIII, Section 822 (a) and (b) of the Public Health Service Act; 42 U.S.C. 296m, as amended by Section 931 of The Nurse Training Act of 1975; Public Law 94-63; 89 Stat. 361; Nurse Training Amendments of 1979, Public Law 96-76; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To educate registered nurses who will be qualified to provide primary health care.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** horse practitioner traineeship programs will be funded in 1982. or maintain existing programs for the training of nurse practitioners. Educational programs funded under this authority must meet the guidelines prescribed by the Secretary in accordance with Section 822(a)(2)(B) of the Public Health Service Act, and included in the regulations issued for these grants. Sec. 822(b): applicants for Traineeships under Section 822 (b) must reside in a health manpower shortage area and enter a commitment to practice as a nurse practitioner in a primary care health manpower shortage area.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local government, public or nonprofit private schools of nursing, medicine, and public health, public or nonprofit private hospitals, and other public or nonprofit private entities.

**Beneficiary Eligibility:** Sec. 822(a): Same as Applicant Eligibility. Sec. 822(b): Traineeship beneficiaries are nurse practitioner students.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by applicants who are State and local government.

**Application Procedure:** Sec. 822(a): Application form sent by the Division of Nursing upon request for educational programs only. Sec. 822(b): Students must apply to participating institution. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Sec. 822(a): Grants are awarded by the Secretary of HHS on the recommendation of the National Advisory Council on Nurse Training following review by a peer review group. Sec. 822(b): Funds are awarded to eligible institutions according to number of eligible candidates and availability of funds.

**Deadlines:** Sec. 822(a): July 1 and November 1; Sec. 822(b): Set annually by Division of Nursing.

**Range of Approval/Disapproval Time:** Approximately 6 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable for Sec. 822(a). Annual for Sec. 822(b).

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Sec. 822(a): Assistance up to 3 years. Sec. 822(b): School must appoint and make obligations to trainees within 12 month budget period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial status and progress reports, final reports.

**Audits:** Records must be available for audit by Comptroller General and Secretary of HHS.

**Records:** If audit has occurred, records may be destroyed 3 years after end of budget period; if not, records must be retained until audit or up to 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $13,000,000; FY 82 est $11,520,000; and FY 83 est $5,726,000.

**Range and Average of Financial Assistance:** Sec. 822(a): $63,851 to $396,754. Sec. 822(b): Traineeship awards to institutions: $3,725 to $88,112. Students receive stipends up to $5,040 plus tuition and other expenses.

**PROGRAM ACCOMPLISHMENTS:** Sec. 822(a): In fiscal year 1981, 45 applications were received, 31 approved, 69 projects were funded, including 40 continuations. 1,918 students were enrolled in these progams. Sec. 822(b): In fiscal year 1981 budget periods of 12 programs were extended. It is estimated that no nurse practitioner traineeship programs will be funded in 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheets; Final regulations and Amendment Title 42 CFR 57 Subpart Y. Nurse Practitioner Training Grants and Contracts - Program Guide.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Nursing, Bureau of Health Professions, Health Resources Administration, Public Health Service, Department of Health and Human Services, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782. (Use same 7-digit number for FTS). Program Contact: for Sec. 822(a): Mrs. Denise Geolot, (301) 436-6670, for Sec. 822(b): Dr. Mary F. Hill, (301) 436-6681. Grants Management Contact: John R. Westcott, (301) 436-6564.

**RELATED PROGRAMS:** 13.299, Advanced Nurse Training Program; 13.358, Professional Nurse Traineeships; 13.359, Nurse Training Improvement-Special Projects.

**EXAMPLES OF FUNDED PROJECTS:** Family, pediatric, geriatric, adult nurse practitioner programs, and nurse-midwifery.

**CRITERIA FOR SELECTING PROPOSALS:** Full-time course of study combining clinical practice with at least 4 months of classroom instruction. Program must be at least one academic year in length and have not less than 8 full-time students per class. Merit of application. Adherence to regulations and guidelines. Potential of graduates to serve in a primary care shortage area.

## 13.299 ADVANCED NURSE TRAINING PROGRAM

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title VIII, Section 821 of Public Health Service Act; 42 U.S.C. 296l, as amended by Section 931 of the Nurse Training Act of 1975; Public Law 94-63; 89 Stat. 361; Nurse Training Amendments of 1979; Public Law 96-76; Public Law 97-35, The Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To prepare registered nurses at the master's and doctoral levels to teach in the various fields of nurse training and to serve in administrative or supervisory capacities and in nursing specialties, and as nurse clinicians.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To meet the costs of projects to plan, develop, and operate, new programs; significantly expand, or maintain existing programs for the advanced training of registered nurses at the master's and doctoral levels. A project must provide an educational program to prepare registered nurses as nursing administrators, supervisors, educators, or nurse clinicians in one or more of the following areas: maternal-child health nursing, community health nursing, geriatric nursing, adult nursing, medical-surgical nursing, or acute care nursing.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and nonprofit private collegiate schools of nursing accredited by the appropriate accrediting body.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application form sent by the Division of Nursing upon request. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants are awarded by the Secretary of HHS on the recommendation of the National Advisory Council on Nurse Training after review by a peer review group.

**Deadlines:** July 1 and November 1.

**Range of Approval/Disapproval Time:** Approximately 6 months.

**Appeals:** Not applicable.

**Renewals:** Two-year Renewal Grants are possible.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Assistance up to 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial status and progress reports; final reports.

**Audits:** Records must be available for audit by Comptroller General and Secretary of HHS.

**Records:** If audit has occurred, records may be destroyed 3 years after end of budget period; if not, records must be retained until audit, or up to 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $12,000,000; FY 82 est $11,520,000; and FY 83 est $1,145,000.

**Range and Average of Financial Assistance:** $19,405 to $334,909; no average given.

**PROGRAM ACCOMPLISHMENTS:** There were 60 applications received, and 42 applications approved in fiscal year 1981. There were 85 awards made in fiscal year 1981 (19 new, 52 continuations and supplemental).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet; Final Regulations, Title 42 CFR Part 57, Subpart Z. Advanced Nurse Training Grants - Program Guide.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Nursing, Bureau of Health Professions, Health Resources Administration, Public Health Service, Department of Health and Human Services, Center Bldg., 3700 East-West Highway, Room 3-46, Hyattsville, MD 20782. Program Contact: Dr. Thomas Phillips, Telephone: (301) 436-6627; (Use same 7-digit Number for FTS). Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** 13.244, Mental Health Clinical or Service Related Training Grants; 13.297, National Research Service Awards; 13.298, Nurse Practitioner Training Programs and Nurse Practitioner Traineeships; 13.358, Professional Nurse Traineeships.

**EXAMPLES OF FUNDED PROJECTS:** Only programs in a collegiate school of nursing, leading to a graduate degree in nursing, are eligible for funding. Three preference areas: geriatric nursing, maternal-child health nursing, community health nursing. Other nursing specialties that are eligible for advanced nurse training funds: acute care nursing, medical-surgical nursing, adult nursing. Projects to prepare nursing educators, administrators, or supervisors are also eligible.

**CRITERIA FOR SELECTING PROPOSALS:** Project purposes must be consistent with and promote the purposes identified in the law. Need must be documented, and the capability of achieving project goals must be described.

## 13.306 LABORATORY ANIMAL SCIENCES AND PRIMATE RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410, as amended; 42 U.S.C. 241; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289l-1.

**OBJECTIVES:** The objective of the Laboratory Animal Sciences and Primate Research program is to support resource projects that enable biomedical scientists to use animals effectively in research on human health problems. Special attention is given to animal resource projects that are broadly supportive of the missions of the various NIH components. Objectives are accomplished through a Primate Research Centers program, and a Laboratory Animal Sciences program. The Primate Research Centers program provides for and conducts biomedical research using a large number and variety of nonhuman primate subjects. Its primary purpose is to develop primate models of human disease conditions and to offer training and expertise in primatology as it relates to medical research. The Laboratory Animal Sciences program was established to help research institutions meet their need for higher quality, speciialized research animals, for improved care of animals and for better characterization of animals as biomedical research models. Grants support such activities as developing and maintaining colonies of special research animals; developing and defining new animal biological models; developing and improving institutional animal resources, including projects to meet the requirements of the Animal Welfare Act of 1970 (PL 91-579) and NIH policies on the care and use of laboratory animals; developing and maintaining laboratoratory animal disease diagnostic laboratories, including those assuming a regional responsibility; investigating ways to improve the health and well-being of research animals; and developing projects for gathering and disseminating information on research animals, laboratory animal medicine and technology.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Projects funded may include: resource projects for improving an institution's animal resource program; laboratories for diagnosis and control of naturally occurring diseases of experimental animals; development of special colonies and new animal models; research projects on diseases of laboratory animals; research projects to determine environmental requirements for laboratory animals; regional primate research centers; Research Career Development Awards (RCDA); and National Research Service (NRS) Awards to individuals for research training in the field of laboratory animal medicine. In addition, grants may be made to institutions to enable them to make NRS Awards to individuals selected by them.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, hospitals, and other institutions and organizations seeking to establish, continue, or enlarge programs consistent with the objectives of the Program. Applicants for National Research Service Awards must be citizens of the United States or be admitted to the United States for permanent residency; and be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. Nonprofit domestic organizations may apply for the institutional NRS grant. To be eligible, postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.V.M., etc., or equivalent degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None for research grants. Individual NRS Awards require the applicant's academic record, research experience, citizenship, institution sponsorship, etc., be documented in the application form supplied by the Division of Research Grants, National Institutes of Health. Institutional NRS Grants-require the institution to show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are available from the Division of Research Grants. The standard application forms (PHS 398) as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State and local units of government. Prior to formal application the applicant for a National Research Service Award must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. National Research Services awardees may be sponsored by a (domestic or foreign) nonprofit organization.

**Application Procedure:** Application forms may be obtained from the Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Applications from eligible institutions are initially reviewed by study sections and committees, composed of authorities in various fields of medical research. Each application is given a peer evaluation for merit, and recommendations are forwarded to the National Advisory Research Resources Council for final determination.

**Deadlines:** July 1 and November 1. NRS award applications deadlines are indicated in the instructions.

**Range of Approval/Disapproval Time:** Approximately 6 to 9 months.

**Appeals:** None for research grants. Applications for research grants, NRS awards, and RCDA's may be revised and resubmitted.

**Renewals:** Renewals are required every 1 to 5 years, depending on the grant. Council approval is needed. Fellowship awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. RCDA's are limited to no more than 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** One to five years before renewal required. See Renewals above for fellowships.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports and expenditure reports are required annually for grants. Reports are required after termination of National Research Service Awards to ascertain compliance with the Service and pay back provisions.

**Audits:** Audits are made at intervals by the HHS Audit Agency.

**Records:** Expenditure reports are required to be maintained in support of the annual progress report and must be available when required.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0848-0-1-550.

**Obligations:** (Grants) FY 81 $23,836,000; FY 82 est $24,353,000; and FY 83 est $25,242,000.

**Range and Average of Financial Assistance:** $2,092,476 to $3,315,236; $2,459,645 for primate research centers; $6,200 to $370,401; $112,842 for laboratory animal sciences; and for fellowship awards the basic stipend (first year beyond the doctoral degree) of $13,380.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, support was provided to 50 animal resources grants 7 primate centers, and 10 training grants. It is estimated that support will be provided for 37 animal resources, 7 primate centers and 10 training grants in fiscal year 1982. Support will be provided for approximately 36 animal resources, 7 primate centers and 10 training grants in fiscal year 1983. A total of 70 new or competing renewal applications were received in fiscal year 1981. Out of this total, 15 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; Animal Resources Program Information for Applicants; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Animal Resources Branch, Division of Research Resources, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5175 (Use same 7-digit number for FTS). Contact: Dr. John Holman.

**RELATED PROGRAMS:** 13.371, Biotechnology Research; 64.018, Sharing Specialized Medical Resources.

**EXAMPLES OF FUNDED PROJECTS:** Seven Primate Research Centers were supported to provide special environments in which multidisciplinary health related research with nonhuman primates could be conducted. The core operation of each Center is funded by a resource grant. Collectively, these centers are concerned with more than 360 different research projects. They maintain colonies of some 12,000 animals representing 44 species, for research and breeding purposes. Institutional animal resource improvement projects are supported to help institutions upgrade and develop centralized animal resource programs. Requests in this area may include animal cages, cage washers, etc., and renovation of existing facilities. One new award was made in fiscal year 1981. Projects for the characterization and development of animal models are supported but are limited to those which display potential for multicategorical utilization. Projects that attempt to establish an animal model for a specific disease should be directed to the Institute that supports research in that area. A total of 15 diagnostic laboratories were supported during fiscal year 1981. These laboratories investigate naturally occurring laboratory animal diseases and support indepth studies on disease processes and their etiology. A limited number (approximately 10) of discrete research projects aimed at investigation of laboratory animal disease problems or environmental requirements of laboratory animals are supported each year.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.333 CLINICAL RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410, as amended; 42 U.S.C. 241.

**OBJECTIVES:** To create and sustain specialized institutional resources in which clinical investigators can observe and study human physiology and disease.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Centers operate as discrete, multidepartmental, multicategorical research wards and outpatient units. Centers are institutional resources where scientists from many departments correlate their laboratory studies with carefully controlled clinical investigations and analyses. Grants pay the costs of renovation of facilities, equipment, hospitalization, Core laboratory, salaries of center directors, nurses, and technicians, and other operational costs. Core laboratories may include computing support for clinical projects. Experience in clinical research for promising young investigators is provided through the clinical associate physician program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Medical schools, research hospitals, and other medical institutions capable of carrying out well-designed studies in any preclinical or clinical science involving human beings.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Institutions must demonstrate potential research productivity, quality of the proposed physical facility, and soundness of the administrative plan for the center. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Program staff available for consultation.

**Application Procedure:** Special instructions for preparing applications should be requested from the General Clinical Research Centers Branch, Division of Research Resources, National Institutes of Health, Bethesda, MD. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Applications from eligible institutions are initially reviewed by committees composed of authorities in various fields of medical research. Each application is given a peer evaluation for merit and recommendations are forwarded to the National Advisory Research Resources Council. Awards are made annually (in December).

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** About 6 to 9 months.

**Appeals:** None.

**Renewals:** Renewals are required every 2 to 5 years. Council approval is needed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** 2 to 5 years. A Letter of Credit system is used for transferring funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports and expenditure reports required annually (in April).

**Audits:** Subject to auditing procedure of the grantee and sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** As required for the annual progress and expenditure reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0848-0-1-550.

**Obligations:** (Grants) FY 81 $60,108,000; FY 82 est $64,324,000; and FY 83 est $67,369,000.

**Range and Average of Financial Assistance:** $244,536 to $2,109,440; $854,187.

**PROGRAM ACCOMPLISHMENTS:** Investigators across the country use the clinical research centers for the study of virtually all aspects of human disease and its therapy (health care). In fiscal year 1981, support was provided to 75 centers. It is estimated that 71 centers will be supported in fiscal year 1982 and 65 centers in fiscal year 1983. Seventeen renewal applications were reviewed in FY 1982 of which 15 were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; The General Clinical Research Centers Program Guidelines and Information; and PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** General Clinical Research Centers Program Branch, Division of Research Resources, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-6595 (Use same 7-digit number for FTS). Contact: William Ray De Cesare, M.D.

**RELATED PROGRAMS:** 13.337, Biomedical Research Support; 13.371, Biotechnology Research; 64.018, Sharing Specialized Medical Resources.

**EXAMPLES OF FUNDED PROJECTS:** A typical center supports multiple projects from many disciplines, such as internal medicine, pediatrics, surgery, and obstetrics and gynecology. Projects relate to all aspects of disease mechanisms and may include projects in nutrition, diabetes, growth and development, genetics, immunology, and other areas.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.337 BIOMEDICAL RESEARCH SUPPORT

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301(a) (3); Public Law 78-410, as amended; 42 U.S.C. 241.

**OBJECTIVES:** Biomedical Research Support Grants (BRSG): To strengthen and enhance the research environment of institutions heavily engaged in health-related research, through the use of flexible funds and local decision-making which enable them to more efficiently and effectively conduct biomedical research programs. Shared Instrumentation Grants(SIG): To make available to institutions with a high concenration of NIH extramural research awards, research instruments which can only be justified on a share use basis and for which meritorious research projects are described.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may support: Pilot research; support of new investigators; unexpected research requirements and emergencies; continuation of research during temporary interruption of grant support; emerging research opportunities; setting up new laboratories; improvement of investigators' research skills; investigations in new fields and in fields new to the investigator; central shared research resources; compliance with animal welfare requirements; research opportunities for minorities and women. Funds may not be used for: indirect costs; new construction; foreign travel; supplementation of Federal stipends; library support; broad institutional planning activities; and disapproved PHS research grant applications. Biomedical Research Support shared instrumentation grants provide support for expensive state-of-the-art instruments utilized in Biomedical Research. Applications are limited to instruments that cost at least $75,000 per instrument or system. There is no upper limit on the cost of the instrument, but the maximum award is $250,000. Grants will be awarded for a period of one year and are not renewable. Types of instrumentation supported include, but are not limited to nuclear magnetic resonance systems, electron microscopes, mass spectrometers, protein sequencer/amino acid analyzers and cell sorters. Support will not be provided for general purpose equipment or "Stand alone" Computer systems. Awards will be made for the direct costs acquisition of new, or the updating of existing, research instruments. The institution must meet those costs (not covered in the normal purchase price) required to place the instrumentation in operational order as well as he maintenance, support personnel and service costs associated with maximum utilization of the instrument.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Non-profit health professional schools (whether or not a component of a university); other academic schools (includes ASA single eligible component, all other schools, departments and free standing institutes of the institution, except the health professional schools); hospitals; state and local health agencies; and research organizations. Each individual campus of a multi-campus university is considered as a separate "institution." The institution must have received a minimum of $500,000 in appropriate PHS research project grants and at least three such grants within the latest complete 12-month period, ending September 30. SIG awards will be made to institutions only, not to individuals. In FY 1983, eligibility is limited to institutions which received a biomedical research support grant award in FY 1982. Only one application for a single shared instrument may be submitted by an eligible institution in a review cycle. Applications will be received only once per year.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** BRSG None. For SIG, a major user group of three or more investigators should be identified. Each major user must have NIH peer-reviewed research support at the time of the award. The application must show a clear need for the instrumentation by projects supported by multiple NIH research awards and demonstrate that these projects will require at least 75 percent of the total usage of the instrument. Major users can be individual researchers, or a group of investigators within the same department or from several departments at the applicant institution. NIH extramural awardees from other institutions may also be included.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and assistance on the preparation of an application is available from the administering agency.

**Application Procedure:** Applications are made on Form NIH 147-1 obtained from the headquarters office. This program is subject provisions of OMB Circular No. A-110 as implemented by 45 CFR. For SIG, applications are to be submitted on the standard PHS research grant application form (PHS 398, Rev. 5/80) available from most institutional business offices or the Division of Research Grants, NIH. Instructions supplied with these forms would be followed except for those changes described in the Biomedical Research Support Shared Instrumentation Grants Announcement available from the Headquarters Office, and those published in the NIH Guide for Grants and Contracts.

**Award Procedure:** Appropriate applications are referred to the National Advisory Research Resources Council for review and recommendations. Upon recommendation of approval of an application by the Council, an award can be made by the Biomedical Research Support Program, Division of Research Resources, National Institutes of Health.

**Deadlines:** The deadline is established annually. Normally the closing date is January 1 for BRSG and October 15 for SIG.

**Range of Approval/Disapproval Time:** For BRSG about 3 months. For SIG, about 9 months.

**Appeals:** None.

**Renewals:** Must be renewed annually. No renewals for SIG.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** Length of assistance is for a 1-year period. Reapplication for assistance must be made each year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For BRSG, annual narrative progress and expenditure reports are required. For SIG, a progress report shall be required for three years. The report will cover the period August 1 through July 31 and be submitted within 30 days following the reporting period. The report must describe the use of the instrument, listing all users, and indicate the value of the instrumentation to the research of the major users and to the institution as a whole.

**Audits:** Audits are made periodically at intervals by the HHS Audit Agency.

**Records:** For BRSG, documentation of expenditures and other financial records must be kept readily available for examination by authorized Government personnel, and must be maintained for five years after the end of each budget period. For SIG, annual narrative progress and expenditure reports are required for three years after receipt of an award.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0848-0-1-550.

**Obligations:** (Grants) FY 81 $47,146,000; FY 82 est $49,544,000; and FY 83 est $51,042,000.

**Range and Average of Financial Assistance:** FY 81 - $12,668 to $178,697; Average $84,584. SIG Awards: $75,000 to $250,000; Average not yet determined.

**PROGRAM ACCOMPLISHMENTS:** There were 527 BRSG awards issued during fiscal year 1981 to schools of medicine, dentistry, public health, osteopathy, pharmacy, veterinary medicine, nursing, as well as hospitals, health departments, research institutes and non-health professional academic institutions. Approximately 516 BRSG awards will be issued in fiscal year 1982. During the last reported 12-month period, the BRSG program funded 5,200 pilot projects and 3,500 regular projects. It provided support to 3,100 new investigators. Program support resulted in 6,200 research publications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Biomedical Research Support Grant-General Policy and Information Statement; PHS Grants Policy Statement. Biomedical Research Support Shared Instrumentation Grants, Division of Research Resources, NIH Guide for Grants and Contracts, Vol. 10, No. 8, June 26, 1981, to be revised annually.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Biomedical Research Support Program, Division of Research Resources, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-6743 (Use same 7-digit number for FTS). Contact: Dr. Thomas G. Bowery. For SIG, Dr. Majorie A. Tingle, Biomedical Research Support Program, Division of Research Resources, National Institutes of Health, Bldg. 31, Room 5B-23, Bethesda, MD 20205, Phone: (301) 496-6743.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Successful types of projects have included: a combination of support for pilot research and a major shared piece of equipment at a medical school; support of newly recrited investigators at an expanding research hospital; remodeling of a laboratory at an academic institution; support for investigators during lapses between approved, but unfunded research grants, together with a series of research seminars and the purchase of new laboratory equipment for a young investigator at a research organization; project support for new and existing faculty at those growing health professional schools who are increasing their research capability. For SIG, National Institute of General Medical Sciences Shared Instrumentation. Initial awards will be made in mid-July 1982.

**CRITERIA FOR SELECTING PROPOSALS:** All eligible institutions, submitting an application, receive a BRSG award. The amount of each is computed by applying a formula to the total allowable PHS research grant support received by each eligible institution during the preceding Federal fiscal year, and adjusted according to the funds available for award. For SIG, the extent to which an award would contribute to research progess (for example, enhance ongoing or proposed research or open new research areas) by providing an instrument that is unavailable or to which availability is highly limited. The benefit of the proposed instrument to the overall research community it will serve. The availability and commitment of the appropriate technical expertise within the major user group and the institution for use of the instrumentation. The adequacy of the organizational plan for administration of the grant including sharing arrangements for use of the instrument. The institution's commitment for continued support of the utilization and maintenance of the instrument.

## 13.339 HEALTH PROFESSIONS—CAPITATION GRANTS

### (Capitation Grants)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Comprehensive Health Manpower Training Act of 1971; Public Law 92-157; 42 U.S.C. 295; Section 770; Public Health Service Act, amended by Public Law 94-484, Section 101(K); 90 Stat. 2245; Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To provide financial assistance to schools of public health in return for addressing requirements for enrollment goals.

**TYPES OF ASSISTANCE:** Project Grants (with Formula Distribution).

**USES AND USE RESTRICTIONS:** Funds may be used to support the educational programs of participating schools. Funds may not be used for construction, financial assistance to students, sectarian instruction or any religious purposes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Awards in FY 81 and FY 82 will be made only to schools of Public Health.

**Beneficiary Eligibility:** All schools of public health.

**Credentials/Documentation:** Reasonable assurance that nonfederal expenditures for the functions of the school will be at least as great as those of the previous years.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit application in accordance with instructions in application kit which may be obtained from the Bureau of Health Professions, Health Resources Administration (See Headquarters Office address below).

**Award Procedure:** Grants are awarded to eligible schools following review by staff and the National Advisory Council on Health Professions Education.

**Deadlines:** Annual deadline furnished with application instructions.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** Not applicable.

**Renewals:** Application for annual renewal must be made.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Capitation grants are formula grants awarded to eligible schools. Grant amount is based on the comparative enrollment of the schools.

**Length and Time Phasing of Assistance:** Funds available for 2 years. Payment by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual fiscal report is required.

**Audits:** Subject to inspection and audit by representatives of HHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports and 3 years after final disposition of nonexpendable property. If questions remain, such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $4,307,000; FY 82 est $4,176,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Range: $66,565 to $435,495; Average: $195,773.

**PROGRAM ACCOMPLISHMENTS:** There were 22 schools supported in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Regulations (Title 42, Part 57, Subpart F) and "Health Professions Capitation Grants" may be obtained from the Grants Management Officer, BHPr, HRA (See address below).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Grants Management Officer, BHPr, HRA (see address below).

**Headquarters Office:** Bureau of Health Professions, Health Resources Administration, Center Building, 3700 East-West Highway, Room 4-27, Hyattsville, MD 20782. Telephone: (301) 436-6564 (Use same 7-digit number for FTS). Grants Management Contact: John R. Westcott.

**RELATED PROGRAMS:** 13.342, Health Professions—Student Loans; 13.381, Health Professions-Financial Distress Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.342 HEALTH PROFESSIONS—STUDENT LOANS

### (HPSL)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title VII, Section 740; as amended; Public Law 97-35; 42 U.S.C. 294n.

**OBJECTIVES:** To increase educational opportunities for students in need of financial assistance to pursue a course of study in specified health professions by providing long-term, low interest loans.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are allocated to schools by statutory formula for the purpose of capitalizing a student loan fund. Funds on deposit can only be used for loans to eligible students pursuing a full-time course of study; for costs arising from litigation in connection with the collection of any obligation to the fund and interest; and for costs of collections when approved by the appropriate section. The maximum amount a student may borrow is cost of tuition and $2,500 for any one academic year. The interest rate is 9 percent. To be eligible for a Health Professions Student Loan, students of Medicine and Osteopathy must meet exceptional financial need criteria.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any accredited public or other nonprofit private school of medicine, dentistry, osteopathy osteopathy optometry, podiatry, pharmacy, or veterinary medicine which provides a course of study leading respectively to a degree of Doctor of Medicine, Doctor of Dental Surgery or an equivalent degree, Doctor of Osteopathy, Doctor of Optometry or an equivalent degree, Doctor of Podiatry or an equivalent degree, Bachelor of Science in Pharmacy or an equivalent degree, or Doctor of Veterinary Medicine or an equivalent degree, located in a State, the District of Columbia, or Puerto Rico.

**Beneficiary Eligibility:** Any student enrolled or accepted for enrollment in a school, as above, and pursuing a course of study which constitutes a full-time academic workload, as determined by the school, leading to a degree as specified above; in need of the loan to be able to pursue the course of study; a student applicant must be a citizen or National of the United States, or one who intends to become a permanent resident of the United States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands or the Commonwealth of the Northern Mariana Islands. Also see Uses and Use Restrictions.

**Credentials/Documentation:** Participating schools are required to renew annually their agreement to operate a student loan fund with the agency responsible for administering the program. Student applications for financial assistance indicating the basis of approval or disapproval of a loan are maintained on file in the school.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Students apply at student aid office of school of their choice for assistance in applying for a loan. The school then tabulates requests for funds based on estimated needs of students.

**Application Procedure:** Application forms HSA-514 are distributed to eligible schools annually and must be returned to the Central Office by date specified in application materials.

**Award Procedure:** The Notice of Grant Award is sent to the authorized official of the school, with copies to the Coordinator of Student Financial Aid and the Fiscal Officer, notifying the school of the amount of Federal funds allocated for loans prior to the beginning of the academic year in which the award is to be utilized. Student is notified by student aid office of approval or disapproval at times determined by schools.

**Deadlines:** As specified by administering agency.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** Not applicable.

**Renewals:** Reapply each year.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Allotment of funds based on statutory formula which takes into account the ratio each school's enrollment bears to the enrollments of all schools making application for funds but never in excess of request of school. Under the Federal Capital Contribution method, a school must match Federal Capital Contribution with an amount equal to one-ninth the funds draw down.

**Length and Time Phasing of Assistance:** The time required by a student to complete the necessary course of study leading to a degree and subject to the availability of funds.

POST ASSISTANCE REQUIREMENTS:

**Reports:**"Annual Operating Report" form (HSA-501) to be submitted about August 15, or earlier, for previous period of support.

**Audits:** Applicant school is subject to inspection and fiscal audit of fiscal and other records by persons designated by the Secretary of HHS. Biennial Internal Audits are also required.

**Records:** Financial records must be kept until such time as agreed upon with the Secretary as specified in 42 CFR 57.215.

FINANCIAL INFORMATION:

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $16,335,000; FY 82 $5,640,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $3,690 to $171,789; $52,355.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1981, the $16,335,000 assisted approximately 11,000 students in 312 schools.

REGULATIONS, GUIDELINES, AND LITERATURE: See 42 CFR 57. "A Guide for Repayment, Deferment, and Cancellation of Health Professions Student Loans" is available upon request from participating schools or from the address below.

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Bureau of Health Personnel Development and Service, Health Services Administration, PHS, DHHS, Center Building, Rm 9-50, 3700 East-West Highway, Hyattsville, MD. Contact: Michael Heningburg, telephone: (301) 436-7430. (Use same 7-digit number for FTS).

RELATED PROGRAMS: 13.108, Health Education Assistance Loans; 13.802, Scholarships for First-Year Students of Exceptional Financial Need; 84.038, National Defense/Direct Student Loans.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 13.358 PROFESSIONAL NURSE TRAINEESHIPS

### (Nurse Traineeships; Traineeships for Registered Nurses)

FEDERAL AGENCY: HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

AUTHORIZATION: Public Health Service Act; Title VIII, Section 830; 42 U.S.C. 297, as amended by Section 935 of the Nurse Training Act of 1975; Public Law 94-63; 89 Stat. 362; Nurse Training Amendments of 1979 Public Law 96-76; Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

OBJECTIVES: To prepare registered nurses as administrators, supervisors, teachers, nursing specialists, and nurse practitioners for positions in hospitals and related institutions, in public health agencies, in schools of nursing, and in other roles requiring advanced training.

TYPES OF ASSISTANCE: Project Grants.

USES AND USE RESTRICTIONS: To provide for long-term, full-time academic study at a master's or higher level to prepare nurse leaders as administrators, supervisors, nursing specialists, teachers, and nurse practitioners.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Institutions providing advanced nurse training.

**Beneficiary Eligibility:** Trainees are selected by participating institution. A candidate must be a citizen of the United States, graduate of a State-approved school of nursing, and licensed as a professional nurse in a State or Territory of the United States.

**Credentials/Documentation:** Not applicable.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Institutions may apply for traineeship funds to the Division of Nursing, Bureau of Health Professions; individuals may apply to educational institution approved to participate in the Professional Nurse Traineeship program by the Division of Nursing. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Funds are awarded to eligible institutions in accordance with number and types of eligible candidates in each participating institution and the availability of funds.

**Deadlines:** Contact Headquarters Office for details.

**Range of Approval/Disapproval Time:** 2 to 5 months.

**Appeals:** Not applicable.

**Renewals:** Annual.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** School must appoint and make obligations to trainees within 12 month budget period. Grant is awarded to institution and funds are generally distributed under Letter of Credit.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Annual financial status reports.

**Audits:** Records must be available for audit by Comptroller General and Secretary of HHS.

**Records:** Grantee institutions must keep records for 3 years after the end of the budget period.

FINANCIAL INFORMATION:

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $12,870,000; FY 82 est $9,600,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $8,799 to $609,502. Students may receive stipends up to $5,040 plus tuition and other expenses in 1982.

PROGRAM ACCOMPLISHMENTS: From 1956 to 1980 about 52,000 nurses received traineeships for long-term academic study; 2,000 nurses received traineeships in fiscal year 1981. All institutions that applied received awards in 1981.

REGULATIONS, GUIDELINES, AND LITERATURE: Fact Sheet; Program Guide for Professional Nurse Traineeship Program; Public Health Service Grants Policy Statement (OS) 77-50,000.

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Nursing, Bureau of Health Professions, Health Resources Administration, Public Health Service, Department of Health and Human Services, Center Bldg., 3700 East West Highway, Room 3-50, Hyattsville, MD 20782. (Use same 7-digit number for FTS). Program Contact: Dr. Mary S. Hill, Telephone: (301) 436-6681. Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

RELATED PROGRAMS: 13.298, Nurse Practitioner Training Program and Nurse Practitioner Traineeships.

EXAMPLES OF FUNDED PROJECTS: Students must be enrolled in participating master's and doctoral nursing education programs.

CRITERIA FOR SELECTING PROPOSALS: Full-time course of study, merit of application, adherence to guidelines.

## 13.359 NURSE TRAINING IMPROVEMENT—SPECIAL PROJECTS

### (Special Projects Grants and Contracts for Improvement in Nurse Training)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title VIII, Section 820; 42 U.S.C. 296 k, as amended by Section 931 of the Nurse Training Act of 1975; Public Law 94-63; 89 Stat. 359; Nurse Training Amendments of 1979, Public Law 96-76; Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To help schools of nursing and other institutions improve the quality and availability of nursing education through projects for specified purposes such as opportunities for individuals from disadvantaged backgrounds.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Eligible uses: For salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8% of direct costs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For others, 45 CFR, Part 74, Subpart Q, applies for costs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Program information may be obtained from the Division of Nursing. Applications are provided by the Grants Management Branch. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Special project grants for improvement in nurse training are awarded by the Secretary of HHS on the recommendation of the National Advisory Council on Nursing Training after review by a peer review group. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications are reviewed three times a year by the National Advisory Council on Nurse Training. Deadlines for submission of applications are July 1 and November 1.

**Range of Approval/Disapproval Time:** Approximately 6 months.

**Appeals:** Not applicable.

**Renewals:** An initial grant may be approved for a project period of up to 3 years, and may be submitted for competitive review for an additional two years, provided the total support period does not exceed 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Assistance is available up to 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial status and progress reports; final reports.

**Audits:** Records must be available for audit by Comptroller General and Secretary of HHS.

**Records:** Financial records must be kept available for 3 years after submission of financial status reports and 3 years after final disposition of non-expendable property. If questions remain, such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $12,000,000; FY 82 est $6,175,000; and FY 83 est $5,726,000.

**Range and Average of Financial Assistance:** $7,142 to $233,064.

**PROGRAM ACCOMPLISHMENTS:** Projects have assisted nursing schools to meet the costs of recruitment and retention of disadvantaged students; assisted practicing nurses to keep their skills updated; improved nurse distribution; developed training programs to upgrade the skills of LP/LVNs and other paraprofessional nursing personnel. There were 173 applications processed in fiscal year 1981; 65 were approved. There were 32 new applications and 70 continuations, for a total of 102 projects funded in fiscal year 1981. It is estimated that only non-competing continuation awards will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet; Program Guide and Instructions for Nursing; Special Projects for Improvement in Nurse Training, DHHS Publication No. (HRA) 78-87; Final Regulations, Title 42 CFR, Part 57, Subpart T.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Nursing, Bureau of Health Professions, Health Resources Administration, Public Health Service, Department of Health and Human Services, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Audrey Lindgren, Telephone: (301) 436-6690. Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** 13.361, Nursing Research Project Grants.

**EXAMPLES OF FUNDED PROJECTS:** Continuing education, increased opportunities for nursing education for individuals from disadvantaged backgrounds, training programs to upgrade the skill of licensed practical nurses and offer papraprofessional nursing personnel, and improved distribution by geographic area or specialty group of trained nursing personnel.

**CRITERIA FOR SELECTING PROPOSALS:** Purpose of project must be consistent with and promote one or more of the purposes identified in the law. Local or national need must be documented. Capability of achieving goals must be described. A plan to continue the activity following the project period must be described.

## 13.361 NURSING RESEARCH PROJECT GRANTS

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title III, Section 301; Public Law 78-410; 42 U.S.C. 241.

**OBJECTIVES:** To support basic and applied research activities in nursing education, practice, and administration.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. Support for training not allowable unless required by research design. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any corporation, public or private institution or agency, or other legal entity may apply. Grants are occasionally awarded to individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from headquarters office. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program.

**Application Procedure:** Application materials, including Form PHS-398, available from institution or DHHS headquarters office. Human and animal subject protection is required. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants awarded by DHHS upon recommendation of National Advisory Council on Nurse Training, after scientific review by a peer review group.

**Deadlines:** July 1 and November 1.

**Range of Approval/Disapproval Time:** 7 months.

**Appeals:** Not applicable.

**Renewals:** Competitive review on renewal and supplemental requests.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Grantee institutions share in the costs of grant-supported research through negotiated agreement.

**Length and Time Phasing of Assistance:** Generally not more than 5 years. Paid incrementally for project period, usually not more than 12 months at a time.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports; final report due within 90 days of termination; financial status report for each budget period.

**Audits:** All records are subject to audit by the Secretary or Comptroller General.

**Records:** Must be retained for 3 years or longer if not audited or audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $4,950,000; FY 82 $2,376,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $11,878 to $394,649; $103,000.

**PROGRAM ACCOMPLISHMENTS:** A total of 1,192 awards from 1956-1981, totaling $64,171,588, have resulted in improvements in clinical therapy, institutional research capability, and basic scientific information. Results have been communicated through conferences and publications. There were 49 awards made in fiscal year 1981. It is expected that 37 awards will be made in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheets; PHS Grants Policy Statement (OS) 77-50,000; Research in Nursing 1969-72, DHHS Pub. No. (NIH) 73-489.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Nursing, Bureau of Health Professions, Health Resources Administration, Public Health Service, Department of Health and Human Services, Center Bldg., Room 3-50, 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr. Doris Bloch, Telephone: (301) 436-6204. Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** 13.226, Health Services Research and Development—Grants; 13.110, Maternal and Child Health Federal Consolidated Programs; 13.399, Cancer Control; 13.866, Aging Research.

**EXAMPLES OF FUNDED PROJECTS:** Studies of urinary bladder fullness, nursing services for newborns, nurse practitioner care, stress reduction, and temporary nursing services.

**CRITERIA FOR SELECTING PROPOSALS:** Areas included: scientific merit, such as well-defined research question and variables, sound methodology and appropriate analysis, significance of the project, human/animal subject protection, capability of investigators, adequate facilities, and a realistic budget proposal.

## 13.363 NURSING SCHOLARSHIPS
## (NSS)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title VIII, Section 845, as amended; Public Law 97-35; 42 U.S.C. 297j. Authorization has not been extended beyond June 30, 1982.

**OBJECTIVES:** To enable students with exceptional financial need to pursue a course of study in nursing by providing scholarship aid.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Scholarship awards not to exceed $2,000 for any academic year to cover a student's educational costs and living expenses as the school may determine based on the student's requirements and financial resources. For students enrolled in schools that have a required course of study longer than the traditional nine months September to June academic year, the maximum amount of scholarship may be proportionately increased.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited public schools of nursing, or nonprofit private schools of nursing located in a State, the District of Columbia, Puerto Rico, Guam, the Canal Zone, American Samoa, the Virgin Islands, or the Trust Territory of the Pacific Islands are eligible for grant awards. Such schools may not discriminate against qualified students because of race, color, origin, sex or handicapping conditions.

**Beneficiary Eligibility:** Nursing students who are citizens of the United States or who have been admitted for permanent residence and who are either full-or half-time students in good standing or have been accepted for full-or half-time study.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and technical assistance provided to nursing education institutions wishing to share in scholarship funds.

**Application Procedure:** There is currently no authority for scholarship funds. Nursing student loan funds may be transferred to scholarships under specified conditions. Program information may be obtained from DHHS Central Office.

**Award Procedure:** The authority to award new funding has not been extended in legislation.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Scholarship funds obligated by schools for award to eligible students during a 24 month period of fund availability. Funds released under Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial and program information on HSA-501, Annual Operating Report.

**Audits:** Applicant schools subject to inspection and fiscal audit by designated representatives of the Secretary of Health and Human Services.

**Records:** Fiscal records must be kept until such time as agreed upon with the the Secretary as specified in 42 CFR 57.911.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 (Remainderment of funds allocated in FY 80 and not drawn down until 1981. Amount as yet unknown); FY 82 est $0; and FY 83 est $0. (Note: Future appropriation levels for this program are still pending).

**Range and Average of Financial Assistance:** Schools: $266 to $45,638; $6,709.

**PROGRAM ACCOMPLISHMENTS:** In academic year 1980-81, 1,328 participating nursing schools received awards to be used during academic years 1980-81 and 1981-82.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 57, Subpart J. "Scholarship Grants to Schools of Nursing" and "Nursing Scholarship Program Fact Sheet, 1981" are available from the Headquarters Office (see address below).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Headquarters Office contact below.

**Headquarters Office:** Division of Student Services, Bureau of Health Personnel Development and Service, Health Services Administration, PHS, DHHS, Center Building, Rm. 9-50, 3700 East West Highway, Hyattsville, MD 20782. Contact: Michael Heningburg, Telephone: (301) 436-7430 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.364, Nursing Student Loans; 84.063, Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.364 NURSING STUDENT LOANS (NSL)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Title VIII, Section 835; as amended; Public Law 97-35; 42 U.S.C. 297a.

**OBJECTIVES:** To assist students in need of financial assistance to pursue a course of study in professional nursing education by providing long-term low-interest loans, currently at the rate of six percent.

**TYPES OF ASSISTANCE:** Project Grants (to capitalize loan funds).

**USES AND USE RESTRICTIONS:** Loans have a maximum of $2,500 annually and are limited to a total of $10,000. Loans to full-and half-time nursing students who are citizens or nationals of the United States or who are in a State for other than temporary purposes and intend to become permanent residents of a State. Grants are made to schools of nursing to capitalize loan funds.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All accredited public and nonprofit private schools of nursing that prepare students for practice as registered or graduate nurses, and that do not discriminate against students because of race, color, origin, sex, or handicapping conditions, are eligible to apply for funds to be disbursed to qualified nursing students.

**Beneficiary Eligibility:** Nursing students who are nationals of the United States or who are in a State for other than temporary purposes and intend to become permanent residents of a State, or U.S. Territory, and who are either full or half-time nursing students in good standing, or have been accepted for full or half-time study, and who can demonstrate financial need, may apply for loans.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and technical assistance are provided to nursing education institutions wishing to share in loan funds.

**Application Procedure:** Annual application forms (HSA-514) are distributed to all accredited public and nonprofit private schools of nursing each April. Program information may be obtained from DHHS Central Office.

**Award Procedure:** Nursing student loan funds are allocated and awarded to participating schools by the Central Office.

**Deadlines:** Deadlines change from year to year and are announced by the Secretary.

**Range of Approval/Disapproval Time:** About four months.

**Appeals:** Not applicable.

**Renewals:** Annually by reapplication.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Schools participating in loan funds must match the Federal contribution with an amount not less than one-ninth of the Federal allotment.

**Length and Time Phasing of Assistance:** Loans not exceeding an aggregate total of $10,000 at the rate of no more than $2,500 for an academic year are available to needy nursing students for the length of time required to complete preparation of registered nursing practice.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Operating Report (HSA-501).

**Audits:** Applicant schools subject to inspection and fiscal audit by designated representatives of the Secretary of Health and Human Services.

**Records:** Financial records must be kept until such time as agreed upon with the Secretary of HHS as specified in in 42 CFR 57.318.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $13,500,000; FY 82 est $6,580,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** (FY 1981-Schools) $477 to $95,735; $11,790.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,145 awards were made to schools.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 57. "A Guide for Repayment, Deferment, and Cancellation of Nursing Student Loans", "Entering an Agreement to Serve in a Shortage Area"; GPO Publication No. 863-502; Nursing Student Loan Program FACT SHEET.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services Bureau of Health Personnel Development and Service, Health Services Administration, PHS, DHHS, Center Building, Rm. 9-50, 3700 East-West Highway, Hyattsville, MD 20782. Contact: Michael Heningburg, telephone: (301) 436-7430 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.363, Nursing Scholarships; 84.038, National Defense/Direct Student Loans; 84.063, Pell Grants Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.371 BIOTECHNOLOGY RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410 as amended; 42 U.S.C. 241.

**OBJECTIVES:** To assist academic and other nonprofit institutions in developing and sustaining sophisticated technological capabilities, such as computer centers, biological structure resources, and biomedical engineering resources which are vital to modern biomedical research. These grants provide biomedical research investigators with sophisticated tools for research, education and patient care, including facilities for computing and data processing, high-voltage electron microscopy, mass spectroscopy, nuclear magnetic resonance spectroscopy and other specialized techniques. Biotechnology grants are awarded for large-scale resources, such as computer centers, made available to investigators in an entire institution or region. Special emphasis is placed on national shareable resources. The Program does not provide for research or training that can be obtained through other NIH programs. Universities, hospitals and other institutions with programs of biomedical research or related specialized technological capabilities are eligible to apply.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Resources are intended to be on a very large scale, serving major multidisciplinary, multicategorical research programs. In addition to meeting carefully defined institutional or regional needs, resources should be an integral part of the general development plan of the applicant institution. Funds for research project grants and training grants which are available from other NIH programs, are not provided in this program. The grants and contracts provide for the establishment and operation of a research resource, which include primary equipment, professional staff, and related operating expenses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, hospitals, and other institutions and organizations with programs of biomedical research and specialized research services to many departments and disciplines are eligible for Biotechnology resource grants.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None for grants.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An informal preapplication conference is recommended, and consultation or assistance is available from the Biotechnology Resources Branch. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government.

**Application Procedure:** Applications for grants must be made on Form PHS-398 (available in the institutions) and sent to the address specified in the application packet. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Applications from eligible institutions are reviewed by study sections and committees composed of authorities in various fields of medical research. Each application is then given a peer evaluation for merit and these recommendations are forwarded to the National Advisory Research Resources Council for final recommendation to the Director of the Division of Research Resources.

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** About 6 to 9 months.

**Appeals:** None for grants.

**Renewals:** After 3 to 5 years, upon application and review.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** Grants are usually made for periods of 3 to 5 years, and may be renewed following application and Council approval. Funds are usually made available yearly in the form of Letters of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress and expenditure reports are required annually for grants.

**Audits:** Audits are made at intervals by the HHS Audit Agency.

**Records:** Records must be retained until three years from the date of termination of grant support, or until the final departmental audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0848-0-1-550.

**Obligations:** (Grants) FY 81 $16,907,000; FY 82 est $18,540,000; and FY 83 est $19,387,000.

**Range and Average of Financial Assistance:** $21,286 to $1,894,299; $382,349. A $500,000 per year limit is now in effect except where exceptional justifications can be made.

**PROGRAM ACCOMPLISHMENTS:** There were 44 biotechnology resources supported in fiscal year 1981. It is estimated that 43 resources will be supported in fiscal year 1982, and 40 resources in 1983. Sixteen applications were received in fiscal year 1981 and of that number 9 competing renewals and 7 new applications were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; Descriptive Program Guidelines and application kits are available from the Biotechnology Resources Branch. PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Biotechnology Resources Branch, Division of Research Resources, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5411 (Use same 7-digit number for FTS). Contact: Dr. Suzanne S. Stimler.

**RELATED PROGRAMS:** 13.306, Laboratory Animal Sciences and Primate Research; 13.333, Clinical Research; 13.863, Cellular and Molecular Basis of Disease Research; 47.051, Biological, Behavioral, and Social Sciences; 64.018, Sharing Specialized Medical Resources.

**EXAMPLES OF FUNDED PROJECTS:** The Program can support resource development projects, resource-related research projects and biotechnology resources which make novel or complex techniques and equipment widely available to the biomedical research community. Example include regional resources in various areas of spectroscopy, regional and national centers for scanning transmission and high voltage electron microscopy, national biomedical engineering centers and regional and national computer resources including knowledge base and decision making capabilities.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.375 MINORITY BIOMEDICAL RESEARCH SUPPORT

### (MBS)

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410, as amended; 42 U.S.C. 241.

**OBJECTIVES:** To increase the numbers of ethnic minority faculty, students, and investigators engaged in biomedical research. To broaden the opportunities for participation in biomedical research of ethnic minority faculty, students, and investigators by providing support for biomedical research programs at eligible institutions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Minority Biomedical Research Support grants may be used to support released time for faculty members to engage in research; exploratory research and full-scale research activities through the purchase of equipment, supplies, technical assistance, as needed; undergraduate and graduate students working in research through their involvement in a faculty member's research; and resources, such as the operation of central research resources not related solely to any one specific project or program, but essential to the entire biomedical research activity of the institution; or the provision of ancillary research services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Four-year colleges, universities, and health professional schools with over 50 percent minority enrollment; (2) Four-year institutions with significant but not necessarily over 50 percent minority enrollment, provided they have a history of encouragement and assistance to minorities; (3) Two-year colleges with 50 percent minority enrollment; and (4) An Indian tribal school which has a recognized governing body and which performs substantial governmental functions, or an Alaska Regional Corporation as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et. seq.).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation of eligibility required prior to acceptance of application. Costs will be determined in accordance with HHS Regulations CFR 45 Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and assistance on preparation of an application are available from the administering agency. Application Form PHS 398 with addendum may be obtained from office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications from eligible institutions are referred to the General Research Support Review Committee and to the National Advisory Research Resources Council for final determination. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Upon recommendation by the National Advisory Research Resources Council, an award can be made by the Minority Biomedical Research Support Program Branch, Division of Research Resources, National Institutes of Health.

**Deadlines:** October 1.

**Range of Approval/Disapproval Time:** About 6 to 9 months.

**Appeals:** None.

**Renewals:** End of project period (three to five years). Council approval required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Three to 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual narrative progress and expenditure reports are required.

**Audits:** Made at irregular intervals by the HHS audit agency.

**Records:** As required for reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0848-0-1-550.

**Obligations:** (Grants) FY 81 $18,757,000; FY 82 est $18,065,000; and FY 83 est $18,508,000.

**Range and Average of Financial Assistance:** $100,000 to $300,000 per year for 3 years; average $150,000.

**PROGRAM ACCOMPLISHMENTS:** There were 77 MBS grants supporting 81 minority institutions awarded in fiscal year 1981. Approximately 600 faculty and 1,300 students were involved. It is estimated that 74 grants will be made in fiscal year 1982 and 68 in 1983. Sixty-four applications were received in 1981, and 29 of these were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Minority Biomedical Research Support Program-General Policy and Information Statement"; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Minority Biomedical Research Support Program Branch, Division of Research Resources, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-6743 (Use same 7-digit number for FTS). Contact: Director, Dr. Ciriaco Gonzales, Minority Biomedical Research Support Program Office.

**RELATED PROGRAMS:** 13.880, Minority Access to Research Careers; 64.001, Biomedical Research.

**EXAMPLES OF FUNDED PROJECTS:** The Minority Biomedical Research Support Program supports institutionally based, health related research programs involving several different research subprojects conducted by individual investigators. These programs are intended to improve research capabilities and increase the number of ethnic minorities in biomedical research and related careers. The following are representative research programs funded through this program: "Biomedical Sciences-Project Strengthen", "Minorities in Research and Science Achievement Program", "Biomedical Science Research Program", "Biomedical Sciences Research Improvement Program (ISRIP)", "Research Participation in the Biomedical Sciences".

**CRITERIA FOR SELECTING PROPOSALS:** The Major elements in evaluating proposals include assessments of: the relevance and importance to announced program objectives; the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project.

## 13.379 GRANTS FOR GRADUATE TRAINING IN FAMILY MEDICINE

### (Family Medicine Residency)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 786(a), Part D, Title VII, as amended by Publc Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To increase the number of physicians practicing family medicine.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are made to cover the cost of developing and operating approved (or provisionally approved) residency training programs, and to provide financial assistance to participants in approved residency programs in the field of family medicine. Grants may not be used for construction, patient services, or student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and nonprofit private hospitals; accredited public nonprofit private school of medicine or osteopathy; or nonprofit private health or educational entity.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Accreditation required by the Joint Commission on Accreditation of Hospitals or the American Osteopathic Association (through the Board of Trustees). Residency programs must be approved (or provisionally approved) by the Liaison Committee on Graduate Medical Education based upon the recommendation of the Residency Review Committee for Family Practice or, by the American Osteopathic Association (through the Board of Trustees). For existing schools: Accredited by a recognized body or bodies approved for such purposes by the Secretary of Education. For new schools: A letter of reasonable assurance of accreditation from the Secretary of Education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Central Office and Regional Office staff. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit applications in accordance with instructions specified in the application kits which may be obtained from Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing, a Notice of Grant Award will be issued from the headquarters office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during approved budget period. Payment is made by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports must be submitted annually. Financial status reports are required within 90 days after end of each budget period.

**Audits:** Grants are subject to inspection and audit by representatives of HHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports and 3 years after final disposition of nonexpendable property. If questions remain, such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $23,905,000; FY 82 est $32,000,000; (FY 82 estimate include funds for 13.895 and 13.896); and FY 83 est $22,500,000 (FY 83 estimate include funds for 13.895 and 13.896).

**Range and Average of Financial Assistance:** Residency: $32,989 to $391,998; $138,982.

**PROGRAM ACCOMPLISHMENTS:** There were 147 continuation and 25 competitive awards made in fiscal year 1981 for residency training. There were 147 continuation and 151 competitive applications received in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Grants for Graduate Training in Family Medicine", a Program Guide. Final regulations published in Federal Register 10/16/80.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator in DHHS Regional Office (see Appendix IV for listing).

**Headquarters Office:** Director, Division of Medicine, Bureau of Health Professions, Health Resources Administration, Center Building, 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr. Kenneth Moritsugu, Telephone: (301) 436-6418 (Use same 7-digit number for FTS). Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** 13.895, Grants for Faculty Development in Family Medicine; 13.896, Grants for Predoctoral Training in Family Medicine.

**EXAMPLES OF FUNDED PROJECTS:** All projects are funded to meet the objectives as stated above.

**CRITERIA FOR SELECTING PROPOSALS:** Competing applications are initially reviewed by non-Federal consultants whose recommendations are considered by the National Advisory Council on Health Professions Education. Approval of any application will be based on an analysis of the following factors: 1) The potential effectiveness of the proposed project in carrying out the training purposes of Section 786(a) of the PHS Act; 2) The extent of responsiveness to the project requirements, guidelines and application requirements; 3) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; and 4) The potential of the project to continue on a self-sustaining basis after the period of grant support.

## 13.381 HEALTH PROFESSIONS—FINANCIAL DISTRESS GRANTS

### (Financial Distress Grants and Cooperative Agreements)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act; Public Law 78-410; Section 788(b), as amended; 84 Stat. 446; amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981, Section 788 A and B.

**OBJECTIVES:** To assist schools of medicine, osteopathy, dentistry, optometry, pharmacy, podiatry, public health and veterinary medicine which are in serious financial distress to meet costs of operation, which have special financial need to meet accreditation requirements, or to carry out appropriate operational, managerial, and financial reforms. Advanced financial distress aid may be provided to meet incurred or prospective costs of operation essential to remove schools from serious and longstanding financial instability.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Funds may be used to reduce or remove current operating deficit or support approved plan to meet accreditation requirements, or to carry out appropriate operational, managerial, and financial reforms, but may not be used for new construction; or student aid. Limited to three years of support under Section 788 A and five years under 788 B. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Schools of medicine, osteopathy, dentistry, optometry, pharmacy, podiatry, public health and veterinary medicine, which are accredited by agencies recognized by the Secretary of Education, or have a letter of reasonable assurance of accreditation from the Secretary of Education. Schools must have previously received financial distress grants for a period of at least three years to be eligible for aid under Section 788 B.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Accreditation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Submit application in accordance with instructions in application kit which may be obtained from the Bureau of Health Professions, Health Resources Administration. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Initial application review is made by staff and consultant reviewers; secondary review by the National Advisory Council on Health Professions Education. For advanced financial distress, a plan to achieve financial solvency within five years also must be found acceptable by an independent panel of three experts in the field of financial management. All applicants are notified in writing of final actions taken on their applications. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Specified in application instructions.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. During the year a cooperative agreement is made, the school must expend funds from non-Federal sources in an amount equal to at least the average of funds expended annually in the 2 years immediately preceding the year in which the financial distress assistance is requested (Section 788 B only).

**Length and Time Phasing of Assistance:** From date of award to the end of the next succeeding Federal fiscal year. Funds must be obligated by grantee during the budget period specified in the Notice of Grant Award. In the case of awards to schools with existing operating deficit, Federal funds may be used only to offset such deficit through June 30 for the year for which the award is made. For advanced distress, annual awards with tentative approval for up to five years of assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Report covering purposes for which funds were expended and source and nature of required non-Federal expenditures must be filed within 90 days of end of budget period.

**Audits:** Grants and cooperative agreements are subject to inspection and audit by representatives of the Department of Health and Human Services.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports and 3 years after final disposition of nonexpendable property. If questions remain, such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $10,000,000; FY 82 est $7,104,000; and FY 83 est $5,600,000.

**Range and Average of Financial Assistance:** Range - $433,000 to $5,506,000; Average - $2,000,000.

**PROGRAM ACCOMPLISHMENTS:** Five awards were made in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Regulations (Title 42, Part 57, Subpart M) and "Grants to Health Professions Schools in Financial Distress," available from the Regional Health Administrator, DHHS (See Appendix IV) or Headquarters Office (see address below).

**INFORMATION CONTACTS:**

**Regional or Local Office:** (See Headquarters Office below).

**Headquarters Office:** Bureau of Health Professions, Health Resources Administration, PHS, DHHS, Center Building, Room 4-27, Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-6564. Grants Management Contact: John R. Westcott.

**RELATED PROGRAMS:** 13.339, Health Professions—Capitation Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** 1). Documentation of an operating deficit of serious magnitude or an immediate need for financial assistance to meet accreditation requirements; 2). Alternatives available to the school to meet its financial needs; 3). An analysis of the causes for the school's financial distress; 4). Actions taken by the applicant or to be taken to ameliorate the problem; and 5). The proposed plan to eliminate the need for support under the program.

## 13.384 HEALTH PROFESSIONS—START-UP ASSISTANCE

### (Start-Up Assistance)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Section 215 of the Public Health Service Act, 58 Stat. 690, as amended by 63 Stat. 35, 42 U.S.C. 216; Section 788(a) of the Public Health Service Act, 90 Stat. 2318; 42 U.S.C. 295(g)-8(a) and amended by Section 2744(a)(2) of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To assist new schools of medicine, osteopathy, dentistry, public health, veterinary medicine, optometry, pharmacy, and podiatry to accelerate start of instruction or increase size of entering class.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may not be used for construction, student financial assistance, or operation of teaching hospitals.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and nonprofit new schools of medicine, osteopathy, dentistry, public health, veterinary medicine, optometry, pharmacy, and podiatry which have a finding of reasonable assurance of accreditation from the Secretary of Education. Authority repealed by Public Law 97-35 except to allow phase-out of existing grants.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Letter of reasonable assurance of accreditation from the Secretary of Education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit applications according to instructions in application kit which may be obtained from Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by staff, consultants and the National Advisory Council on Health Professions Education. All applicants are notified in writing of final actions taken on their applications. Headquarters Office has approval authority. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Included with instructions distributed with application form.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements. Statutory maximums are specified for each of the 4 years of support.

**Length and Time Phasing of Assistance:** A maximum of 4 years of support. Grant payments are made by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and financial status reports are required. Final financial status reports are required not later than 90 days after end of the grant period.

**Audits:** Subject to inspection and audit by respresentatives of HHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports, and 3 years after disposition of nonexpendable property. If questions remain, such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $1,790,000; FY 82 est $768,000; and FY 83 est $0. (This program is targeted for rescission after FY 82.)

**Range and Average of Financial Assistance:** Start-up $385,000 to $600,000; $447,500.

**PROGRAM ACCOMPLISHMENTS:** Four awards were made in fiscal year 1981, two award expected for fiscal 1982 and none for fiscal 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Regulations (Title 42, Part 57, Subpart O), "Health Professions Start-Up Assistance Grant Program" available from the Bureau of Health Professions, DHHS (see below).

**INFORMATION CONTACTS:**

**Regional or Local Office:** (See Headquarters Office below.)

**Headquarters Office:** Bureau of Health Professions, Health Resources Administration, PHS, DHHS, Center Building, Room 4-22, 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-6564. Grants Management Contact: John R. Westcott.

**RELATED PROGRAMS:** 13.381, Health Professions—Financial Distress Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.392 CANCER—CONSTRUCTION

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 404(b) (9) and Section 406.

**OBJECTIVES:** To renovate existing cancer research facilities and build new cancer research facilities to meet basic and clinical space requirements, laboratory safety, biohazard containment, and animal care standards in order to support the facility demands of NCI research programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** New physical resources for cancer research include basic research laboratories, clinical and support facilities, and those related to biohazard control that are integral parts of an overall research effort. Proposed facilities must be part of an existing cancer research effort or a developing cancer research program. Facilities constructed may not be used to replace existing cancer research facilities, and shall be used for research pertinent to cancer problems for at least 20 years. Funds must be used for purposes stated in the approved grant application. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Except where otherwise prohibited by law, any nonprofit organization competent to carry out cancer research is eligible to apply for support including universities, colleges, hospitals, public agencies or nonprofit research institutions.

**Beneficiary Eligibility:** Public and private nonprofit organizations and the public needing treatment for cancer.

**Credentials/Documentation:** Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, The National Environmental Policy Act, and listing of all relevant licenses, permits, or other approvals required by State and local authorities. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication assistance is available from address noted below under Information Contacts. Regional clearinghouse clearance is necessary. Applications are subject to State and areawide clearinghouses review pursuant to Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application kits for construction programs can be obtained from Research Facilities Branch, National Cancer Institute, 8300 Colesville Road, Silver Spring, Maryland 20910, and returned to Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. Review procedure is according to NIH grant review procedures for research grants. This program is subject to the provisions of OMB Circular No. A-110 and 45 CFR 74.

**Award Procedure:** Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Awards are made annually following the meeting of the National Cancer Advisory Board in May.

**Deadlines:** October 1, February 1, and June 1.

**Range of Approval/Disapproval Time:** 8 to 16 months.

**Appeals:** No formal appeal procedures as such. Reasons are given for disapprovals and reapplication information provided as requested.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. The NCI will award up to 50 percent of the eligible costs. Matching funds from nonfederal sources are required and are negotiated with each grantee.

**Length and Time Phasing of Assistance:** Construction must be completed within time specified in grant award. Funds will be released in proportion to construction completed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grantee is responsible for performance of contractor. Contractor must be covered by performance and payment bonds.

**Audits:** Audit by government representatives may be made during construction or after final inspection of the facility has been completed and a final report of expenditures has been filed by the grantee.

**Records:** Information on maintenance of cost data records is contained in the application kit.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $2,027,000; FY 82 est $1,000,000; and FY 83 est $1,000,000.

**Range and Average of Financial Assistance:** $32,918 to $426,938; $337,833.

**PROGRAM ACCOMPLISHMENTS:** At the end of fiscal year 1981, there were 98 authorized construction grants. Of this total, 68 are completed and 14 are nearing completion, with the remaining 16 either in the design or early construction phase. In fiscal year 1981, 10 Cancer Construction competing applications were received; 6 Cancer Construction awards (60 percent) were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 38.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-7753 (Use same 7-digit number for FTS). Program: Dr. Donald G. Fox, Cheief, Research Facilities Branch, Division of Resources, Centers, and Community Activities, National Cancer Institute, 8300 Colesville Road, Silver Spring, Maryland 20910. Telephone: (301) 427-8804.

**RELATED PROGRAMS:** 13.393, Cancer Cause and Prevention Research; 13.394, Cancer Detection and Diagnosis Research; 13.395, Cancer Treatment Research; 13.396, Cancer Biology Research; 13.397, Cancer Centers Support; 13.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:** Construction of new basic research laboratories for cancer research, construction of new clinical and support facilities for cancer research, construction of facilities for cancer research related to biohazard control, expansion of existing basic research laboratories for cancer research, and expansion of existing clinical and support facilities for cancer research.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit of the total cancer program; the degree of the applicant's program relevance to the National Cancer Program; the special biohazard containment needs; and the evaluation of the ongoing program for research pertinent to cancer problems for at least 20 years.

## 13.393 CANCER CAUSE AND PREVENTION RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301(c) and Section 401; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 282.

**OBJECTIVES:** Cause and prevention research is concerned with identification of those factors which cause cancer in man and with the development of mechanisms for preventing cancer in man. Cancer Cause and Prevention Research includes the following research programs; epidemiology, chemical and physical carcinogenesis, biological carcinogenesis, and nutrition.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items and indirect costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The grantee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization which submits an application and receives a grant for support of research by a named principal investigator.

**Beneficiary Eligibility:** Grants: Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Grant: Application form PHS-398. This is a standard form which can be obtained from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205 and submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 and as implemented by 45 CFR 74.

**Award Procedure:** Approved grants are funded based on priority score and made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Awarded (Form PHS 1533-2) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:** New Grants: July 1 and November 1. Renewals and supplements: October 1, February 1, and June 1.

**Range of Approval/Disapproval Time:** Grants: Approximately 10 months.

**Appeals:** Unsuccessful applicants may revise and resubmit.

**Renewals:** Applications submitted for renewal have to be reviewed and selected for funding on a competitive basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Current legislation requires that the grantee participate in the cost of each research project. Cost-sharing agreements are negotiated with the grantee in accordance with 45 CFR 74, Subpart G.

**Length and Time Phasing of Assistance:** Grants: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods up to 5 years based on competitive peer review. Funding provided through Monthly Demand Payment System or letter of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is required 90 days after end of budget period. Special reports may be requested by the grantor.

**Audits:** Grants are subject to inspection and audit by Government representatives.

**Records:** Financial records, including all documents to support entries in the accounting records and to substantiate charges to each grant, must be kept for 3 years after the end of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $116,159,000; FY 82 est $116,589,000; and FY 83 est $116,452,000.

**Range and Average of Financial Assistance:** Grants: $4,000 to $3,281,130; $126,723.

**PROGRAM ACCOMPLISHMENTS:** The primary emphasis in biological carcinogenesis has largely moved away from the search for human cancer viruses and has beeen directed toward studies of genes, gene products, and cellular control mechanisms which are involved in malignancy. The tumor viruses of lower animals are now used as important tools for deciphering the molecular pathways by which a cell becomes malignant. Molecular biologists have successfully isolated the specific genes, and their protein products from many of these viruses which are responsible for causing cancer. They have also found that these genes are present in all normal vertebrate cells, including those of humans. This suggests that, under ordinary conditions such genes may serve a normal function which, aberrantly or inappropriately expressed, may cause cancer. Consequently, research on the way in which the cell controls the expression of genes and on the way in which proteins coded for by these genes act on the cell, is very important in finding a way to block the transformation process and prevent cancer. In the area of chemical and physical carcinogenesis, important information has been obtained on the various pathways by which environmental chemicals are metabolized by cells either to harmless or to more carcinogenic forms. The enzyme systems responsible have been isolated and characterized from many animal sources, and work is now underway on similar systems operating in human cells. This work may lead to an understanding of the variability in the human response to carcinogen exposure and may help identify individuals who are at an increased cancer risk from such chemicals. In addition, a program is underway to determine the differences and similarities between various species of animals in the way they metabolize carcinogens as compared to humans. This research effort will help in extrapolating data on experimental animal carcinogenesis to humans. Chemoprevention research with retinoids, which are natural and synthetic analogs of Vitamin A, has shown to inhibit or delay the development of invasive malignancy in animal models of epithelial carcinogenesis in skin, lung, breast and bladder. Inhibition has been shown for both chemically-induced and radiation-induced cancers, as well as inhibition of the so-called spontaneously arising tumors. Continued efforts are being made to develop compounds of this type which are capable of arresting, reversing or otherwise inhibiting the carcinogenic process in the desired target organ and tissue, while providing sufficiently non-toxic effects upon the host. In the area of epidemiology, occupational studies have long played an important role in identifying environmental carcinogens. There are implications beyond the work force, since many agents spread from the work place to the surrounding environment. Although the extent of the hazards resulting from environmental pollution or contaminated consumer products is not clear, there is no question that occupational groups are invaluable as sentinels for identifying and evaluating risks to the general population. Laboratory investigations searching for dietary and nutritional factors related to carcinogenesis include studies of chemical and molecular mechanisms of cancer induction by a variety of dietary constituents (e.g., mycotoxins, nitroso compounds, fiber, proteins) as well as studies on the mechanism of action of certain dietary constituents which may have a preventative or inhibitory effect on the carcinogenic process. In fiscal year 1981, 3002 cancer research competing applications were received and 919 awards (30 percent) for "Cancer Cause and Prevention Research" were made among the 3,056 research grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 74; PHS Grants Policy Statement. No. (OS) 76-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Grants: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-7753 (Use same 7-digit number for FTS). Program: Dr. Richard H. Adamson, Director, Division of Cancer Cause and Prevention, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-6618 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.392, Cancer—Construction; 13.394, Cancer Detection and Diagnosis Research; 13.395, Cancer Treatment Research; 13.396, Cancer Biology Research; 13.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:** Cancer Cause and Prevention Research focuses on the research programs in epidemiology, chemical and physical carcinogenesis, biological carcinogenesis, and nutrition. Examples of funded projects include the following: a prospective study of diet and cancer in women; epidemiology of melanoma lymphcytic leukemia; chemical carcinogen-induced DNA repair in human cells; cellular and biochemical effects of tumor promoters; inhibition of in-vitro transformation by retinoids; vaccination against an oncogenic herpesvirus; nutritional aspects of vitamin A and cancer, and experimental tobacco carcinogenesis.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.394 CANCER DETECTION AND DIAGNOSIS RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301(c) and Section 401; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 282.

**OBJECTIVES:** To identify cancer in patients early enough and precisely enough so that the latest methods of treatment can be applied toward treatment of the disease. Cancer Detection and Diagnosis Research includes the following research programs: immunology and diagnostic research.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel consultants costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items and indirect costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The grantee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization which submits an application and receives a grant for support of research by a named principal investigator.

**Beneficiary Eligibility:** Grants: Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Grant: Application form PHS-398 - this is a standard form which can be obtained from the Division of Research Grants, National Institutes of Health, Bethesda, MD. and submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Approved grants are funded based on priority score and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Awarded (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:** New Grants: July 1 and November 1. Renewals and supplements: October 1, February 1, and June 1.

**Range of Approval/Disapproval Time:** Grants: approximately 10 months.

**Appeals:** Unsuccessful applicants may revise and resubmit.

**Renewals:** Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Current legislation requires that the grantee participate in the cost of each research project. Cost-sharing agreements are negotiated with the grantee in accordance with 45 CFR 74, Supart G.

**Length and Time Phasing of Assistance:** Grants: Average 3 to 4 years and a maximum of 5 years. Renewals may be awarded for additional periods up to 5 years based on competitive peer review. Funding provided through Monthly Demand Payment System or letter of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is required 90 days after end of budget period and special reports as requested by the grantor.

**Audits:** Grants are subject to inspection and audit by Government representatives.

**Records:** Financial records, including all documents to support entries in the accounting records and to substantiate charges to each grant, must be kept for 3 years after the end of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $20,439,000; FY 81 est $22,097,000; and FY 83 est $23,030,000.

**Range and Average of Financial Assistance:** Grants: $4,000 to $760,230; $107,428.

**PROGRAM ACCOMPLISHMENTS:** A cooperative study for the early diagnosis of lung cancer continues to accumulate subject follow-up data. The study has demonstrated that regular exams of sputum cytology along with x-rays can detect up to 25 percent more lung cancer than x-ray examination alone, and these cancers discovered by cytology are more likely to be resectable and potentially curable lesions. A large population screening study for bowel cancer utilizing the Hemoccult test continues to accumulate subjects, but no preliminary results are yet available. Research has continued on a large number of tumor associated marker substances including hormones, isoenzymes, tumor glycoproteins, and nucleic acid degradation products. New ways to look at and analyze multiple simultaneous marker values continued to be explored. The use of radio labeled antibodies to several tumor associated antigens has proven feasible for the accurate localization of suspected tumor metastases by nuclear medicine scanning techniques. Research continued on the development of large screen x-ray image receptors which will transform the radiograph into a digitally stored high quality image. Research has also continued the development of tumor markers and immunodiagnostic assays and has yielded improved Carcinoembryonic Antigens (CEA) assays. Other accomplishments include advances in tumor imaging with monoclonal antibodies, automated cancer cell diagnosis techniques and breast cancer quantitative diagnostic imaging using ultrasound. Research also continued on the application of Nuclear Magnetic Resonance (NMR) Zeugmatograpphy in cancer detection and diagnosis and the use of radiopharmaceuticals for positron tomography. In fiscal year 1981, 3,002 cancer research competing applications were received and 154 awards (5 percent) for "Cancer Detection and Diagnosis Research" were made among the 3,056 research grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; PHS Grants Policy Statement No. (OS) 76-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Grants: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, Bethesda MD 20205. Telephone: (301) 496-7753 (Use same 7-digit number for FTS). Program Contact: Dr. Ihor J. Masnyk, Associate Director, Extramural Research Program, Division of Cancer Biology and Diagnosis, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-3252 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.392, Cancer—Construction; 13.393, Cancer Cause and Prevention Research; 13.395, Cancer Treatment Research; 13.396, Cancer Biology Research; 13.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:** Cancer Detection and Diagnosis Research projects are classified in the immunology and diagnostic research programs. To illustrate the range of these research programs, projects can be categorized as follows: 1) Biochemical, which includes the characterization of tumor cells and substances in body fluids; 2) Immunodiagnostic, which includes the definition of tumor associated antigens as well as studies of the host's immune response to cancer: 3) Cytology, which includes the development of instruments for the automated differentiation of malignant cells from normal and the study of new staining techniques to characterize malignant cells; 4) Pathology, which includes new methods for the classification of human cancer; 5) Radiographic imaging, which includes developing ways to minimize the necessary radiation dose for a given exam and improving the reading of x-ray exams; 6) Non-radiographic imaging, which investigates other modalities such as ultrasound, thermography, heavy-ion radiography and nuclear magnetic resonance (NMR) for tumor imaging; 7) Nuclear medicine, which provides new radioactive agents for improving the contrast between tumor and surrounding tissues and 8) Multidisciplinary projects that tend to be clinical studies where more than a single methodology is utilized to examine selected populations for the presence of cancer.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.395 CANCER TREATMENT RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 401; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 282.

**OBJECTIVES:** To develop the means to cure as many cancer patients as possible and to control the disease in those patients who are not cured. Cancer Treatment Research includes the following research programs: nutrition, immunology, preclinical treatment, clinical treatment and rehabilitation research.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items and indirect costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The grantee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization which submits an application and receives a grant for support of research by a named principal investigator.

**Beneficiary Eligibility:** Grants: Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Grant: Application form PHS-398 - this is a standard form which can be obtained from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205 and submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Approved grants are funded based on priority score and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:** New: Grants July 1 and November 1. Renewals and supplements: October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** Approximately 10 months.

**Appeals:** Unsuccessful applicants may revise and resubmit.

**Renewals:** Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Current legislation requires that the grantee participate in the cost of each research project. Cost-sharing agreements are negotiated with the grantee in accordance with 45 CFR, subpart G.

**Length and Time Phasing of Assistance:** Grants: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods up to 5 years based on competitive peer review. Funds provided through Monthly Demand Payment System or Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is required 90 days after end of budget period and special reports as requested by the grantor.

**Audits:** Grants are subject to inspection and audit by Government representatives.

**Records:** Financial records, including all documents to support entries in the accounting records and to substantiate charges to each grant, must be kept for 3 years after the end of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $171,254,000; FY 82 est $162,879,000; and FY 83 est $168,812,000.

**Range and Average of Financial Assistance:** $4,000 to $2,981,515; $165,622.

**PROGRAM ACCOMPLISHMENTS:** Clinical treatment research is aimed at using chemotherapy, radiotherapy, and immunotherapy and surgery alone or in combination in order to attain optimal treatment of the cancer patient. Major emphasis will continue to be placed on the clinical evaluation of newly identified therapeutic agents and comparison of these agents and their effects relative to older established drugs. Also, emphasis will be placed on the incorporation of active agents in combinations and in conjunction with other therapeutic approaches. These efforts have been undertaken through the use of grants, cooperative agreements and contracts. Cooperative agreements will be primarily used for detailed studies by the Clinical Cooperative Groups. One phase of studies concentrates on detailed comparisons of new versus established therapies with single drugs, combinations of drugs and combined modalities. Another phase of studies concentrates on adjuvant trials in advanced cancer patients in which intensive chemotherapy is used shortly after primary local treatment, usually surgery, in an attempt to eradicate residual tumor. Additional emphasis will continue to be placed on attempts to identify treatments causing less morbidity for the patient and reduced functional loss and disfigurement through less extensive surgery. Clinical trials will be continued with selected biological response modifiers, utilizing clinical resources established specifically for that purpose. Evaluation of known agents, such as interferon and thyumosin, MVE2, and monoclonal antibodies will be continued and expanded. In the area of fast neutron therapy, two clinically based facilities are close to initiating studies, while two others continue to construct the necessary facilities and procure neutron generators for activation scheduled for the future. Controlled prospective clinical studies are in progress with radiosensitizers and radioprotectors in selected generally unresponsive cancers such as those involving the esophagus and gliomas of the brain, plus studies in locally advanced cervical cancer to evaluate local heat as an adjunct to radiotherapy. Clinical treatment research efforts will continue on fundamental problems of surgical oncology, the use of x-ray and other radiotherapy techniques, intraoperative radiotheraphy, and the interaction of these and other treatment modalities. Under preclinical treatment, research continues to focus on fundamental preclinical problems in areas of biochemistry, pharmacology, molecular biology, chemistry and radiobiology. In particular, research will continue to be conducted on biological response modifiers in order to understand their mechanisms of action. Radiation research continued in the areas of neutrons, radiosensitizers and radioprotective agents, concentrating in particular on fundamental studies on how these agents interact with cells and with other treatments. With regard to nutrition, clinical studies which are evaluating the role of intravenous hyperalimentation, in support of patients undergoing therapy, will become evaluable. Studies evaluating caloric intake and expenditure will be initiated in cancer patients. In fiscal year 1981, 3002 cancer research competing applications were received and 1034 awards (34 percent) were made for

"Cancer Treatment Research" among the 3,056 research grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Grants: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-7753 (Use same 7-digit number for FTS). Program: Dr. Saul A. Schepartz, Deputy Director, Division of Cancer Treatment, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-6404 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.392, Cancer—Construction; 13.393, Cancer Cause and Prevention Research; 13.394, Cancer Detection and Diagnosis Research; 13.396, Cancer Biology Research; 13.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:** Fundamental research projects on problems of preclinical biochemistry, pharmacology and clinical treatment through the preclinical and clinical development, evaluation and use of all modalities of treatment alone and in combination such as surgery, radiotherapy, chemotherapy and immunotherapy. Supportive approaches include nutritional support and blood component replacement. Clinical trials after drugs undergo screening, toxicology, and pharmacology. Provision of research animals, compounds and formulated drugs.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.396 CANCER BIOLOGY RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 401; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 282.

**OBJECTIVES:** To provide fundamental information on the cause and nature of cancer in man, with the expectation that this will result in better methods of prevention, detection and diagnosis, and treatment of neoplastic diseases. Cancer Biology Research includes the following research programs: nutrition, tumor biology and immunology.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The grantee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization which submits an application and receives a grant for support of research by a named principal investigator.

**Beneficiary Eligibility:** Grants: Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Grants: Application form PHS-398 - This is a standard form which can be obtained from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205, and submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Approved grants are funded based on priority score and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:** New: Grants July 1 and November 1. Renewals and supplements: October 1, February 1, and June 1.

**Range of Approval/Disapproval Time:** Approximately 10 months.

**Appeals:** Unsuccessful applicants may revise and resubmit.

**Renewals:** Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Current legislation requires that the grantee participate in the cost of each research project. Cost-sharing agreements are negotiated with the grantee in accordance with 45 CFR 74, subpart G.

**Length and Time Phasing of Assistance:** Grants: Average 3 to 4 years, and a maximum of 5 years. Renewals may be awarded for additional periods up to 5 years based on competitive peer review. Funding provided through Monthly Demand Payment System or letter of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is required 90 days after end of budget period and special reports as requested by the grantor.

**Audits:** Grants are subject to inspection and audit by Government representatives.

**Records:** Financial records, including all documents to support entries in the accounting records and to substantiate charges to each grant, must be kept for 3 years after the end of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $107,986,000; FY 82 est $110,545,000; and FY 83 est $111,493,000.

**Range and Average of Financial Assistance:** Grants: $4,000 to $1,588,791; $113,789.

**PROGRAM ACCOMPLISHMENTS:** Cancer Biology Research through the tumor biology and immunology research programs has resulted in significant progress in studies of the cell membranes of cancer cells and normal cells in an effort to understand how changes in the membrane are related to abnormal cell growth. Small molecules that regulate cell growth have been isolated and purified and their binding to specific receptors on the cell surface has been studied. Using the new techniques of recombinant DNA and nucleic acid sequencing, the genes involved in malignant change are being characterized and we are beginning to learn how they are regulated. Of continued interest will be studies on the susceptibility of the mammary gland to neoplastic transformations during periods of pregnancy and aging. In the area of cell genetics studies have been expanded on the regulation of genes controlling cell growth and genes involved in cancer. Progress has also been made in understanding the complexities of the immune system and how it recognizes the abnormalities on the surface of tumor cells. These studies have involved both the study of antibodies that circulate in the blood and "natural killer cells" that are able to recognize and destroy cancer cells. Studies have been expanded on the functional capacity of "natural killer cells" and their role in the immune reactions to lymphoid cancers. Continued efforts have been directed toward learning how cancer cells avoid destruction by the immune system and how this may be related to the growth and spread of tumors. In fiscal year 1981, 302 cancer research competing applications were received, and 949 awards

(31 percent) for "Cancer Biology Research" were made among the 3,056 research grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Grants: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-7753 (use same 7-digit number for FTS). Program contact: Dr. Ihor J. Masnyk, Associate Director, Extramural Research Program, Division of Cancer Biology and Diagnosis, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-3252 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.392, Cancer—Construction; 13.393, Cancer Cause and Prevention Research; 13.394, Cancer Detection and Diagnosis Research; 13.395, Cancer Treatment Research; 13.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:** Studies of cell surface proteins such as "fibronectin" that are involved in malignant transformation; studies of the role of the fibers in the cell that maintain its shape (the "cytoskeleton") as related to regulation of cell growth and the loss of normal growth control in cancer cells; use of a new method called "hybridoma antibodies" to develop new ways of identifying cancer cells and studying how their growth is controlled by the immune system.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.397 CANCER CENTERS SUPPORT

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301(a), Section 401 and Section 406; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 282; 42 U.S.C. 286a.

**OBJECTIVES:** To provide core funds to assist in the development and maintenance of multidisciplinary cancer center for laboratory and clinical research, as well as training and demonstration of the latest diagnostic and treatment techniques.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Core grants are made to cancer centers to support those elements that are required for the strengthening, administration, maintenance and evaluation of an active and unified center. These grants help to consolidate and focus cancer related activities in a single administrative and programmatic structure. Core grants provide funds for professional staff, the centralized resources and services and the administration of the center. In addition, core grants may provide funds for developing and strengthening research programs and projects of the center. Permanent funding for these activities developed with the aid of a core grant, as well as support of other component cancer center functions, is to be acquired through normal federal and non-federal funding mechanisms, e.g., regular research project grants, program project grants, cancer control grants, training grants, education grants, and research contracts.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** University, college, hospital, public agency, or nonprofit research institution.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The grant application requests documentation concerning the qualifications of the principal investigators and associates, pertinent budget information and justification for the support of this proposed grant. Methods to be utilized are outlined in the application materials. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The applicant should send a Letter of Intent to the National Cancer Institute before submitting a cancer center support grant (Core grant). Core grants provide support to the principal coordinating and centralized activities of formally organized cancer centers, which are able to expand their capacity to conduct activities through research, control, and construction grants provided by both NCI and non-NCI programs. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program where the applicants are State or local units of government.

**Application Procedure:** Method of application: Form PHS-398 can be obtained from the Research Grants Review Branch, Division of Research Grants, National Institutes of Health, Bethesda, Maryland 20205 and submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Approved grants are funded based on priority score and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:** Renewals, New and Supplemental: October 1.

**Range of Approval/Disapproval Time:** Approximately 10 months.

**Appeals:** Unsuccessful applicants may revise and resubmit.

**Renewals:** Same procedure as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are negotiated with the grantee in accordance with 45 CFR 74, subpart G.

**Length and Time Phasing of Assistance:** Not to exceed 5 years. Renewals may be awarded for additional periods up to 5 years based on competitive peer review.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is requested 90 days after end of budget period, and special reports as requested by the grantor.

**Audits:** Grants are subject to inspection and audit by Government representatives.

**Records:** Financial records including all documents to support entries on the accounting records and to substantiate charges to each grant must be kept for 5 years after the end of the budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $71,913,000; FY 82 est $72,662,000; and FY 83 est $75,024,000.

**Range and Average of Financial Assistance:** $38,382 to $6,465,229; $1,252,772.

**PROGRAM ACCOMPLISHMENTS:** At the present time the Cancer Centers Program includes 60 cancer centers, all of which are recipients of cancer center support (core) grants. The cancer centers are divided into three categories: comprehensive, specialized clinical and non-clinical. Policies and guidelines governing the main instrument of support, the Cancer Center Support Grant, have recently been revised. The guidelines for comprehensive centers were revised and approved by the National Cancer Advisory Board. In fiscal year 1981, 28 competing applications for cancer centers support were reviewed and 24 (86 percent) were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74;"PHS Grants Policy Statement. No. (OS) 76-50,000".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, 5333 Westbard Avenue, Bethesda, MD 20205. Telephone: (301) 496-7753. (Use same 7-digit number for FTS). Program Contact: Dr. Donald Pitcairn, Acting Chief, Cancer Centers Branch, Division of Resources, Centers, and Community Activities, National Cancer Institute, 8300 Colesville Road, Silver Spring, Maryland 20910, Telephone: (301) 427-8663.

**RELATED PROGRAMS:** 13.392, Cancer—Construction.

**EXAMPLES OF FUNDED PROJECTS:** Core support for Laboratory (non-clinical) Cancer Research Centers, and for Cancer Research Centers (clinical).

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating applications include the following: an adequate base of established programs of high quality in laboratory and/or clinical cancer research; research activity in a variety of disciplines, and evidence of high degree of interdisciplinary coordination, interaction and cooperation among center members; appropriate and adequate organization and facilities for the conduct and evaluation of center activities; a qualified director with adequate authority; and an adequate commitment of the parent institution or institutions to the cancer center. The center should be recognized as a major element within the organizational structure.

## 13.398 CANCER RESEARCH MANPOWER

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 404 (a) 4; Public Law 78-410, as amended; 42 U.S.C. 285; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 2891-1.

**OBJECTIVES:** To make available support for nonprofit institutions interested in providing biomedical training opportunities for individuals interested in careers in basic and clinical research to support important areas of the National Cancer Program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The Research Manpower development program provides support for research training in various scientific fields related to cancer. National Research Service Individual Fellowship Awards are made directly to individuals for research training in biomedical sciences areas. In addition, grants may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions. Clinical Cancer Education Grants are designed to sponsor innovative and multidisciplinary cancer education programs in schools of medicine, dentistry, public health, their major affiliated hospitals and specialized cancer institutions. There will be no individual stipends in the Clinical Cancer Education Program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** University, college, hospital, public agency, or nonprofit research institution. The applicant institution must be able to provide the staff and facilities suitable made among the 300 eligible institutions. There were no new awards in this program. In fiscal year 1981, activity is responsible for the selection and over-all direction of the training. Selected awardees must be citizens of the United States or be admitted to the United States for permanent residency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (2) Institutional NRS Grants - Applicants must show the objectives, methodology, and resources for the training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award and a detailed budget and justification for the amount of grant funds requested. (3) Institutional Clinical Cancer Education Grants - Applicants must describe the organization and administration of the proposed program, list and define institutional objectives, methodology, resources and techniques of evaluation, as well as a justification of proposed expenditures.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Maryland 20205, and submitted to the same address. Applications (Form PHS - 398) for Clinical Cancer Education grants may also be obtained from the Division of Research Grants, NIH and from the offices of research management at most academic institutions. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Applications are reviewed for scientific merit by an appropriate study section, committee, or advisory council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant.

**Deadlines:** Clinical Education: July 1 and November 1. Renewals: October 1. All other manpower applications (New and Renewal): October 1.

**Range of Approval/Disapproval Time:** Approximately 10 months.

**Appeals:** Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Clinical Education Grants may be made for periods of up to 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** See Renewals, above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is required 90 days after end of budget period. Special reports as requested by the grantor.

**Audits:** Subject to auditing procedures of the sponsoring institution, National Institutes of Health, and the Department of Health and Human Services.

**Records:** Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations:** (Grants) FY 81 $38,708,000; FY 82 est $33,866,000; and FY 83 est $33,422,000.

**Range and Average of Financial Assistance:** $12,375 to $458,667; $72,164.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 206 Individual Fellowships were awarded (126 competing awards) totaling $4,046,000. Also, 168 Institutional Fellowship awards were made, and of these, 15 were new grants. Fourteen new Research Career Development Awards were funded, and in the Clinical Cancer Education Grant Program, 92 awards totaling $7,999,000 were than 300 eligible institutions have Clinical Cancer Education grants; and 424 Research Manpower applications were received, of which 214 (50 percent) were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 6; 42 CFR 66; 45 CFR 74; Application kit, National Institutes of Health.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants: Leo F. Buscher Jr., Grants Management Officer, National Cancer Institute, Bethesda MD 20205. Telephone: (301) 496-7753 (use same 7-digit number for FTS). Program: Dr. Barney C. Lepovetsky, Chief, Research Manpower Branch, Institutional Training awards Division of Resources, Centers, and Community Activities, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 427-8898 (Use same 7-digit number for FTS). Dr. Olga Joly, Chief, Education Branch, Division of Resources, Centers, and Community Activities, National

Cancer Institute, Bethesda, MD 20205 Telephone: (301) 427-8855 (Use same 7-digit number for FTS). Ms. Marie C. Gardner, Research Manpower Branch, (Individual Fellowships) Division of Resources, Centers and Community Activities, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 427-8866 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:** Individual Fellowship: Neutrophil cytotoxicity - Model of Tumor Cell Resistance. Institutional Training: 1) Development and Neoplasia (Tumor Biology) and 2) Support for the Clinical Cancer Education Program.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include asessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.399 CANCER CONTROL

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 403; Public Law 78-410, as amended; 42 U.S.C. 284.

**OBJECTIVES:** To establish and support demonstration, education, and other programs, including chemoprevention, for the detection diagnosis, prevention, and treatment of cancer and for rehabilitation and counseling related to cancer.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, practices and served as resources in consultation and continuing education for supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items and indirect costs. Restrictions are imposed against the use of funds for entertainment, foreign travel (unless specifically authorized), office equipment, and other items not normally necessary for the effective prosecution of such research.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The grantee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization which submits an application and receives a grant for support of research by a named principal investigator.

**Beneficiary Eligibility:** Grants: Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Grant: Application form PHS-398 - This is a standard form which can be obtained from the Division of Research Grants, National Institutes of Health, Bethesda, MD. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Approved grants are funded based on priority score and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:** New Grants: July 1 and November 1. Renewals and supplements: October 1.

**Range of Approval/Disapproval Time:** approximately 10 months.

**Appeals:** Unsuccessful applicants may revise and resubmit.

**Renewals:** Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Current legislation requires that the grantee participate in the cost of each research project. Cost-sharing agreements are negotiated with the grantee in accordance with 45 CFR 74, subpart G.

**Length and Time Phasing of Assistance:** Grants average from 3 to 4 years, up to a maximum of 5 years. Renewals may be awarded for additional periods up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required each year. Terminal progress reports are required 6 months after the end of a project. Annual financial status report is required 90 days after end of budget period and special reports as requested by the grantor.

**Audits:** Grants are subject to inspection and audit by Government representatives.

**Records:** Financial records, including all documents to support entries in the accounting records and to substantiate charges to each grant, must be kept for 3 years after the end of the project.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0849-0-1-550.

**Obligations::** (Grants) FY 81 $23,006,000; FY 82 est $22,846,000; and FY 83 $22,766,000.

**Range and Average of Financial Assistance:** $12,400 to $1,009,003; $214,833.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, the program supported 121 grants dealing with a variety of cancer control projects. A major thrust of the Cancer Control Prevention Program is cancer risk reduction resulting from chemical and radiation exposures. Recent activities have focused upon reducing exposures to carcinogenic agents, and newer activities are related to inhibiting carcinogenesis with natural chemopreventive agents. In the area of chemical protection, a project for gathering information on carcinogens of public health importance was recently completed. Projects related to identifying individuals at risk from exposure to DES will be completed during FY 1982. In the area of reducing exposures to radiation, the six Centers for Radiological Physics (CRP) continue to review physics practices at cancer control facilities, serve as a resource for technology transfer and act. A five-year program to follow a group of approximately 65,000 women who were screened during a nationwide breast cancer detection demonstration project has been implemented at 28 locations throughout the country. Research efforts are being supported in the area of cancer risk assessment relative to screening and early detection. In the evaluation, rehabilitation and continuing care, the Cancer Control Outreach Programs have promoted wider use of the most up-to-date patient management techniques by community hospitals and physicians, and of making it possible for community hospitals and physicans to enter patients onto national research programs. The program has been successful in that large numbers of patients from the community have been entered onto research protocols. The Centralized Cancer Patient Data System, (CCPDS) a component of NCI's comprehensive cancer centers, has continued to collect identical information on all centers' patients, thus facilitating evaluations of the efficacy of cancer control programs. In the area of education, protocols are being developed for cancer education in breast self-examination, smoking cessation and occupational health. These protocols will be disseminated nationally in 1982. Also, courses on cancer prevention for medical students, residents, nurse practitioners, and physicians assistants were developed, field tested and evaluated. The courses have been developed and packaged for replication at other institutions. In fiscal year 1981, 110 competing applications for "Cancer Control Research" were received, and 22 (20 percent) were funded. A total of 120 competing and non-competing awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 45 CFR 74 and PHS Grants policy statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Grants: Leo F. Buscher Jr., Grants Management Officer, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-7753 (use same 7-digit number for FTS). Cancer Control Program: Dr. Peter Greenwald Director, Division of Resources, Centers and Community Activities, National Cancer Institute, Bethesda, MD 20205. Telephone: (301) 496-6616. Rehabilitation Research Program: Mr. Lawrence Burke, Program Director for Rehabilitation, Division of Resources, Centers and Community Activities, National Cancer Institute, 8300 Colesville Rd., Room 617A, Silver Spring, MD 20910. Telephone: (301) 427-8656.

**RELATED PROGRAMS:** 13.392, Cancer—Construction; 13.393, Cancer Cause and Prevention Research; 13.394, Cancer Detection and Diagnosis Research; 13.395, Cancer Treatment Research; 13.396, Cancer Biology Research; 13.398, Cancer Research Manpower.

**EXAMPLES OF FUNDED PROJECTS:** Evaluation and control of chronic pain in cancer, adjustment and adaptation in children with cancer, nutritional support and rehabilitation for cancer patients, community-based intervention for high risk workers, psychological and familial precursors of cancer, informal self-help approaches to smoking cessation, breast self-examination motivating methods.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

# OFFICE OF HUMAN DEVELOPMENT SERVICES

## 13.600 ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES—HEAD START

### (Head Start)

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Head Start Act, Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To provide comprehensive health, educational, nutritional, social and other services primarily to preschool economically disadvantaged children and their families and involve parents in activities with their children so that the children will attain overall social competence.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Ninety percent of the enrollees in a program must come from families whose income is below the poverty guidelines as established by the Office of Management and Budget or from families receiving Aid to Families with Dependent Children. Training programs are available for employees of Head Start programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For those programs that are not identified as suitable for joint funding the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any local government or private nonprofit agency which meets the requirements may apply for a grant.

**Beneficiary Eligibility:** Full-year Head Start programs are primarily for children from age 3 up to the age when the child enters the school system, but may include some younger children. Summer Head Start programs are for children who will be attending kindergarten or elementary school for the first time in the fall. No less than 10 percent of the total enrollment opportunities in Head Start programs in each State shall be available for handicapped children.

**Credentials/Documentation:** Nonprofit organizations which have not previously received OHD program support must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, of which implements the requirements of OMB Circular No. A-87 and OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The grantee, policy advisory group, and the Head Start program specialist participate in a pre-review to develop plans and priorities. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The Administration for Children, Youth and Families/Head Start regional representative will provide each applicant agency with a completed check list form showing exactly which items must be completed by each applicant and delegate agency. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All funds are awarded directly to the grantees. Funds for local Head Start programs, some research and demonstration programs and some career development and technical assistance programs are awarded by the Regional Offices. However, funds for the following are awarded by ACYF Headquarters: Indian programs (reservation only); Migrant programs; evaluation studies; some research and demonstration programs and some career development training and technical assistance programs. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications for new projects may be submitted at any time or at times specified by announcement in the Federal Register. Applications for continuation grants must be received 90 days prior to the start of the new budget period.

**Range of Approval/Disapproval Time:** 90 days from submission of application to Governor's approval.

**Appeals:** Grantees who are denied refunding may appeal adverse decisions to the ACYF office which makes the decision. Applicants for new grants: none.

**Renewals:** HHS Headquarters Regional Offices will inform grantees of the application procedures for renewal.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 20 percent nonfederal share must be supplied. This share may be in cash or in-kind: providing space, equipment, utilities or personnel services. The statistical factors used for fund allocation are: 1) the number of related children (age birth to 5) in a family with incomes below the poverty line by State and the source is the latest information available from the Bureau of the Census; 2) the number of AFDC recipients in each State and the source is the "Characteristics of State Plans for AFDC under the Social Security Act, ORS/SSA; and 3) the Consumer Price Index used for calculating allotment for territories and the source from the Bureau of Labor Statistics. Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Head start grantees are required to provide 20 percent of the total cost of the program, although this maybe waived wholly or in part if certain conditions pertain. Matching share may be in cash or in-kind fairly evaluated.

**Length and Time Phasing of Assistance:** Funds are available for a 12 month budget period. Funds are released by monthly allowance on a letter of credit or by monthly check.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial and program progress reports are required.

**Audits:** All Head Start grantees must arrange for an annual audit which is due in the cognizant funding office 120 days after the end of each budget period.

**Records:** Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are funded in 45 CFR Part 74.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $814,216,000; FY 82 est $911,700,000; and FY 83 est $912,000,000. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.)

**Range and Average of Financial Assistance:** $75,000 to $23,000,000; (Estimate of average is not applicable).

**PROGRAM ACCOMPLISHMENTS:** Since 1965, Head Start has served about 7,800,000 children from low-income families in 50 states, Puerto Rico, the Virgin Islands, and the Pacific Commonwealth and Territories. The program has improved the quality of life for these children by providing educational experiences, improving their health, assuring that they receive proper nutrition, and providing social services and psychological help to them and their families. During fiscal year 1981, Head Start served approximately 377,000 children in full-year, summer and experimental programs. There are 37 Parent and Child Centers serving children from birth to 3 years and their families. Selected Head Start programs have been awarded special grants to operate the following experimental programs: 11 Child and Family Resource Programs, and six bilingual projects are part of the program. Handicapped children constitute over 10 percent of the total enrollment of the Headstart Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR parts 1301, 1302, 1303, 1304, and 1305. These are available on request at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Program Director, Children, Youth and Families, Office of Human Development Services, HHS Regional Offices (see Appendix IV for listing).

**Headquarters Office:** Administration for Children, Youth and Families/Head Start, Office of Human Development Services, Department of Health and Human Services, P.O. Box 1182, Washington, DC 20013. Telephone: (202) 755-7782.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.557, Special Supplemental Food Program for Women, Infants, and Children.

**EXAMPLES OF FUNDED PROJECTS:** Full Year, Full Day Head Start Programs; Full Year, Part Day Head Start Programs; Summer Head Start Programs; Child and Family Resource Programs; Parent and Child Center Programs.

**CRITERIA FOR SELECTING PROPOSALS:** Degree to which the proposed project will meet the Head Start Program Performance Standards or other program objectives as specified in a program announcement; Reasonableness of cost; Qualification of staff; Other, which are detailed in every program announcement.

## 13.608 ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES—CHILD WELFARE RESEARCH AND DEMONSTRATION

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, as amended, Title IV, Part B, Section 426; Public Law 86-778; Public Law 96-248; 42 U.S.C. 626.

**OBJECTIVES:** To provide financial support for research and demonstration projects in the area of child and family development and welfare.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are for: (1) special research and demonstration projects in the field of child welfare which are of regional or national significance; (2) special projects for the demonstration of new methods or facilities which show promise of substantial contribution to the advancement of child welfare; and (3) projects for the demonstration of the utilization of research in the field of child welfare in order to encourage experimental and special types of welfare services. Contracts are for the conduct of research, evaluation, or demonstration projects. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not considered suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory and other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: State and local governments or other nonprofit institutions of higher learning, State and local governments or other nonprofit agencies or organizations engaged in research or child welfare activities. Contracts: any public or private organizations.

**Beneficiary Eligibility:** Children and families.

**Credentials/Documentation:** Nonprofit organizations which have not previously received OHDs program support must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, of which implements the requirements of OMB Circular No. A-87 and OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Limited consultation available at Headquarters Office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application form, including budget request and narrative description of project proposal to be submitted to the Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Review by at least three non-Federal professionals. Final decision by Commissioner, Administration for Children, Youth and Families. Notification of awards must be to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Determined annually for new projects. Application for continuation grants must be received 90 days prior to the start of the new budget period.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** None.

**Renewals:** Renewals and extensions available through formal submission of progress reports and continuation application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There is no statutory formula. Grantees are required to provide at least 5 percent of total direct costs. This may be either cash or in-kind, fairly evaluated.

**Length and Time Phasing of Assistance:** Grant may be for 1 to 5 years; Average duration is 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and progress report annually; final report and final expenditure report at completion of study.

**Audits:** Periodic audits should be made as part of the recipients system of financial management and internal control to meet the terms and conditions of grants and other agreements.

**Records:** All financial records are to be maintained 3 years after termination of study, or until audit, is completed whichever occurs first.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants and contracts) FY 81 $10,673,000; FY 82 est $10,608,000; and FY 83 est $0. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined. This program includes the obligational authority previously included in 13.640. In 1983, similar activities may be carried out under the proposed Human Resources Research and Demonstration appropriation.)

**Range and Average of Financial Assistance:** $50,000 to $500,000; $160,000.

**PROGRAM ACCOMPLISHMENTS:** Developed new strategies for group homes for dependent children, education for parenthood, comprehensive programs for school age pregnant girls, infant group care, emergency services, programs for adoption and foster care. Carried out basic research relating to infant intervention programs, development of children and youth in family settings, TV and children, adoption, and children in institutions, family strengths and stresses, and family intersects with societal institutions.

**REGULATIONS, GUIDELINES, AND LITERATURE:** No regulations specific to this program. Annual Priority Statements, application and submission deadline information are available at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable. All requests should be directed to Headquarters Office.

**Headquarters Office:** Director, Division of Planning and Policy Control, Administration for Children, Youth and Families, Office of Human Development Services, OS, DHHS, P.O. Box 1182, Washington, DC 20013. Telephone: (202) 755-7758.

**RELATED PROGRAMS:** 13.623, Administration for Children, Youth and Families—Runaway Youth; 13.628, Child Abuse and Neglect

Prevention and Treatment; 13.766, Health Financing Research, Demonstrations and Experiments.

**EXAMPLES OF FUNDED PROJECTS:** A Study of Independent Adoption, Demonstration of Intensive Supportive Service to Prevent Separation of Families at Risk, National Day Care Cost-Effectiveness Study, Development Characteristics of Urban Foster Children, Teenage Pregnancy and Parenting Program.

**CRITERIA FOR SELECTING PROPOSALS:** Degree to which a proposal promises to meet the specific program objectives defined in the program announcement and considering reasonableness of cost, qualifications of staff and adequacy of methodology.

## 13.612 NATIVE AMERICAN PROGRAMS—FINANCIAL ASSISTANCE GRANTS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** 42 U.S.C. 2991 et seq.; Native American Programs Act of 1974, Public Law 93-644; as amended by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To promote the goal of economic and social self-sufficiency for American Indians, Native Hawaiians, and Alaskan Natives. To strengthen the ability of tribal governmental institutions and Indian leadership to plan, develop and implement community-determined programs supportive of balanced social and economic growth. To strengthen the ability of tribes to function as units of government. To develop and/or access, in a comprehensive manner, resources, services, and benefits necessary for meeting the economic needs of the tribe. To develop economies which provide jobs, encourage business development, promote economic well-being and reduce dependency on services. To plan and carry out programs to gain private sector investment, technical assistance, markets and job opportunities for tribal economies. To strengthen the ability of tribal governments to plan and implement comprehensive social services. To improve tribal and individual access to resources, services and benefits necessary to meet social needs. To resolve problems of jurisdictional conflict and ill-defined areas of program responsibility which result in gaps in services for the tribe. To assist Indian tribes to ensure that Indian people exercise their rights and obtain the benefits to which they are entitled by virtue of the Federal trust relationship, legislative authority, or as citizens of the United States. To promote tribal coordination and control of local, State and Federal program efforts and initiatives in employment, energy, child welfare, environmental and occupational health, aging, rehabilitation.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Grants may be used for such purposes as, but not limited to: projects aimed at increasing the capabilities of Native American groups to provide services for its members; projects designed to provide needed services to promote individual, family, and community self-sufficiency; provide for the establishment and operation of Native American human services centers and research projects on Native American issues, including collection of data to improve services to local Native American communities; and provide for self-help and community economic development efforts. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Governing Bodies of Indian tribes, Alaskan Native villages, and regional corporations, and other public or private nonprofit agencies.

**Beneficiary Eligibility:** American Indians, Alaskan Natives, and Native Hawaiians.

**Credentials/Documentation:** Nonprofit organizations which have not previously received OHDS program support must submit proof of nonprofit status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Federally recognized tribes are exempt from submitting plans to the State Clearinghouses, but are encouraged by the Administration for Native Americans to do so. The provisions of OMB Circular No. A-102 apply to grantees which are local governments.

**Application Procedure:** Information regarding the availability of grant funds will be published from time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. Applicants, whether applying for new or continuation grants, are required to submit program plans to State Clearinghouses in accordance with Part I of OMB Circular No. A-95 (Revised). Federally recognized Tribes are exempt from submitting plans to the State Clearinghouses, but are encouraged by the Administration for Native Americans to do so. The Administration for Native Americans will provide each applicant agency with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from OHDS programs. Applications for urban Indian programs should be submitted to the DHHS Regional Office (see appendix for listing). All other applications should be submitted to OHDS Grants Management Branch, Department of Health and Human Services, Room 1740 North, 300 Independence Ave. S.W., Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All funds are awarded directly to the grantees. Funds are awarded to urban Indian programs through DHHS Regional Offices. Funds to all other grantees are awarded by ANA Headquarters. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications for new projects may be submitted at times specified in program announcements as published in the Federal Register.

**Range of Approval/Disapproval Time:** Formal funding request for continuation grants should be received 90 days prior to anticipated approval date.

**Appeals:** Appeals procedures are published in 45 CFR 1336.54.

**Renewals:** May be refunded.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula for distribution of funds. Twenty percent matching share required unless waived in accordance with criteria which are published in 45 CFR 1336.52. This program has maintenance of effort requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:** Grantees may apply for continuation support within the project period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Financial Status Reports, Report of Federal Cash Transactions, and Project Progress Reports are required.

**Audits:** All grantees must arrange for an annual financial audit, due 120 days after the end of the program year.

**Records:** Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3 year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $30,868,000; FY 82 est $26,300,000; and FY 83 est $21,982,000. NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.

**Range and Average of Financial Assistance:** $10,000 to $3,600,000; $125,000 average for tribal grants, and from $40,000 to $200,000 or average of $80,000 for urban grants.

**PROGRAM ACCOMPLISHMENTS:** The program currently serves approximately 968,000 out of an estimated 1.6 million Native Americans. Financial assistance is provided for Native American community projects, research evaluation, technical assistance and training. Cooperative initiatives with other Federal agencies have been undertaken in the areas of employment, energy, social services, environmental and occupational health, aging, rehabilitation, and housing. In 1981, six program announcements solicited 157 applications; 41 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations and guidelines are published in 45 CFR 1336, OHDS Grants Administration Manual.

**INFORMATION CONTACTS:**

**Regional or Local Office:** DHHS Regional Offices (see Appendix IV of the Catalog for listing).

**Headquarters Office:** Administration for Native Americans, Department of Health and Human Services, Room 5300-N, 330 Independence Avenue, S.W., Washington, DC 20201. Contact: David T. Raisen, Executive Assistant. Telephone: (202) 245-7714 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 11.302, Economic Development—Support for Planning Organizations; 17.234, Indian and Native American Employment and Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** 1) Tribal capacity building projects; 2) Native American social development projects; 3) Program administration for Native American organizations; and 4) Native American economic development projects.

**CRITERIA FOR SELECTING PROPOSALS:** Specific criteria for selecting proposals for funding are stated in each program announcement or request for proposal. In general, proposals are judged based on relevance to program objectives as stated in the program announcement, project viability, community support, reasonability of cost, and qualifications of applicant organization and personnel.

## 13.613 MENTAL RETARDATION—PRESIDENT'S COMMITTEE ON MENTAL RETARDATION

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Executive Order 12110, dated December 28, 1978; Presidential Directive, dated November 16, 1971.

**OBJECTIVES:** To advise and assist the President on all matters pertaining to mental retardation; study national, State and local efforts; help coordinate Federal activities; facilitate communication between Federal, State and local agencies; inform the public about mental retardation; mobilize support for related activities.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Not applicable.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Not applicable.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Salaries and expenses) FY 81 $714,308; FY 82 est $700,000; and FY 83 est $700,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Through PCMR catalytic action, leaders in legal rights assembled at Airlie to update progress in full participation of retarded citizens. Scientists, public health administration, public and private organizations established a new commitment to prevention of mental retardation. Assisted Peace Corps to help Kenya further special education for its retarded children. Collaborated with HUD and ACTION in furthering housing and personal representative concept.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available only from GPO Bookstore, Washington, DC 20202 are "MR 76: Mental Retardation Past and Present", annual report which reviews the historical shifts in our treatment of retarded persons, and assesses where we stand today, price $3.50. "New Neighbors: The Retarded Citizen in Quest of a Home", price $4.50. "Screening and Assessment of Young Children at Development Risk", GPO Price $4.50. "Silent Minority" (legal rights for the retarded). (Price, $1.00). "People Live in Houses: Profile of Community Residences for Retarded Children and Adults", price, $1.70. "New Environments for Retarded People" "(album of facility designs for many countries)", price $1.15. "Mental Retardation: The Known and the Unknown", price $2.45. "Mental Retardation: Century of Decision", price $3.15. "Mental Retardation: Trends in State Services", price $1.20. "Changing patterns in residential services," price $4.45 "What are we waiting for?" price $6.80. Title MR-78 "Report to the President, Mental Retardation," "The Leading Edge Service Programs That Work," "Retardation, Correction, and Retarded Offenders," "International Summit on Prevention of Mental Retardation from Biomedical Causes," "The International Directory of Mental Retardation," Proceedings of a National Multicultural Seminar on Mental Retardation Among Minority, Disadvantaged Populations." Two additional publications: "Hello World" and "The Problem of Mental Retardation".

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Executive Director, President's Committee on Mental Retardation, Washington, DC 20201. Telephone: (202) 245-7634.

**RELATED PROGRAMS:** 13.110, Maternal and Child Health Federal Consolidated Program; 27.005, Federal Employment for the Handicapped; 53.001, Handicapped Employment Promotion; 84.024, Handicapped Early Childhood Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.623 ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES—RUNAWAY YOUTH

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** The Juvenile Justice and Delinquency Prevention Act, Title III; Public Law 93-415; 42 U.S.C. 5701, as amended.

**OBJECTIVES:** To develop local facilities to address the immediate needs of runaway and homeless youth and their families.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are for (1) the establishment, and/or strengthening of an existing or proposed runaway center, a locally controlled facility providing temporary shelter, counseling and aftercare services to juveniles who have left home without permission of their parents or guardians; (2) to otherwise homeless youth; and (3) the provision of a national communications system to assist runaway and homeless youth in communicating with their families and with service providers. JOINT FUND-

ING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** These grants are available to state and local governments, localities or nonprofit private agencies, or coordinated networks of such agencies.

**Beneficiary Eligibility:** Runaway and homeless youth and their families.

**Credentials/Documentation:** Proof of nonprofit status for private, nonprofit organizations. Applicable costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, which implements the requirements of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Consultation or assistance is available from the Youth Development Bureau, Office of Human Development Services, Department of Health and Human Service. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application kits may be obtained from the ACYF Regional Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All applications are reviewed by a review panel of nonfederal persons who make recommendations for funding. The Regional Program Director, ACYF Unit in the Regional Office in consultation with the Director, Youth Development Bureau makes the final decisions based on these recommendations. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As specified in the announcement or application instructions.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** None.

**Renewals:** Requests for ren[illegible]l (continuation grant) are handled in the same manner as [illegible]ginal grant. No grant is automatically approved for more than 1 year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal share of grant is up to 90 percent. The nonfederal share may be in cash or in-kind. The statute contains a formula for allocaton of funds by State. It is based on the population of each State 0-21 as a percentage of the national population 0-21.

**Length and Time Phasing of Assistance:** Grant awards are made for 1 year only. The award is issued in the total amount approved. Payments are made monthly to the grantee. Total length of project will not exceed 4 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and program reports annually; monthly data on clients served; final reports are required 90 days after termination of project.

**Audits:** Periodic audits should be made as part of the recipients system of financial management and internal control to meet the terms and conditions of grants and other agreements.

**Records:** All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $10,980,000 FY 82 est $10,514,000; and FY 83 est $6,600,000.

**Range and Average of Financial Assistance:** $25,000 to $75,000; $68,000.

**PROGRAM ACCOMPLISHMENTS:** Awarded 169 grants totaling $10,200,000 during fiscal year 1981. These projects will serve approximately 42,500 runaway youth in 44 states; Puerto Rico, Guam, and the District of Columbia.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations for the Runaway Youth Program (45 CFR, Part 1351), annual program announcements are available from the ACYF regional offices without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact, Regional Program Director, ACYF, Office of Human Development Services Regional Offices.

**Headquarters Office:** Director, Youth Development Bureau, Administration for Children, Youth and Families, Office of Human Development Services, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 755-0590.

**RELATED PROGRAMS:** 13.242, Mental Health Research Grants; 13.608, Administration for Children, Youth and Families-Child Welfare Research and Demonstration; 13.810, Assistance Payments-State and Local Training; 16.005, Public Education on Drug Abuse-Information; 84.012, Educationally Deprived Children-State Administration.

**EXAMPLES OF FUNDED PROJECTS:** 169 local facilities for runaway or other homeless youth.

**CRITERIA FOR SELECTING PROPOSALS:** The degree to which the proposal promises to provide necessary services including shelter, counseling and aftercare to runaway and other homeless youth and their families; reasonableness of cost of these services; qualifications of staff.

## 13.628 CHILD ABUSE AND NEGLECT PREVENTION AND TREATMENT

### (Child Abuse)

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** The Child Abuse Prevention and Treatment Act Title I, as amended, Public Law 93-247; 42 U.S.C. 5101 et seq.

**OBJECTIVES:** To assist State, local, and voluntary agencies and organizations to strengthen their capacities to develop programs that will prevent, identify, and treat child abuse and neglect.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Grants or contracts are for: (1) providing technical assistance to public and nonprofit private agencies and organizations; (2) demonstration programs and projects to develop and establish multi-disciplinary training programs; to establish and maintain centers to provide a broad range of activities including parent self-help in order to prevent, identify and treat child abuse and neglect. State grants are made to assist states in developing, strengthening and carrying out child abuse and neglect prevention and treatment programs; (3) research into the causes and prevention and treatment of child abuse and neglect; (4) formula grants to states to strengthen state capacities to reduce the incidence of child abuse. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: State or local government or other nonprofit institutions of higher learning, State or local government or other private nonprofit agencies or organizations engaged in activities related to the prevention, identification, or treatment of child abuse and neglect. Contracts: Public and private organizations. State Grants: Those states qualifying under the provisions of Section 4(b)(2) of the Act.

**Beneficiary Eligibility:** Abused or neglected children and their families.

**Credentials/Documentation:** State Grant applications require certification of State's eligibility under Section 4(b)(2) of the Act; nonprofit organizations which have not previously received OHDS program support must submit proof of nonprofit status; applicable costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Technical assistance available at regional and national level to assist states in meeting qualifying conditions specified in the Act. Limited consultation available at headquarters office. Standard application forms provided by the Federal agency must be used. The standard applications forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Demonstration and research applications, must use application forms provided by ACYF, these are to be submitted to Headquarters office. State grant applications to be submitted to the regional offices. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research and demonstration grant applications reviewed by at least three nonfederal professionals with expertise in the field of child and family development, child welfare and child abuse and neglect. Final decision by Commissioner for Children, Youth and Families. State grant applications reviewed at Regional level with disapproval authority retained by Commissioner for Children, Youth and Families. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As specified in the announcement or application instructions.

**Range of Approval/Disapproval Time:** As specified in the announcement.

**Appeals:** None for research and demonstration applications. Not applicable to State Grants.

**Renewals:** Project renewals and extensions available through formal submission of progress reports and continuation applications. State grants require annual submission of application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For research grants only recipients are required to provide at least 5 percent of the total direct costs on research grants. The statistical factor used for fund allocation is the child population under 18 years for all States and territories and the source is "Current Population Reports", P-25, Bureau of the Census. Statistical factors for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Research and Demonstration grants 1 to 4 years. Funding for each year after the first is subject to annual approval. State grants for single year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and progress reports annually; final report and final expenditure report at completion of project.

**Audits:** Periodic audits should be made as part of the recipient systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $22,643,000; FY 82 est $16,199,000; and FY 83 est $4,620,000. (Note: The 1983 level is for State Grants only; discretionary activities may be carried out under the proposed Human Resources Research and Demonstration appropriation.)

**Range and Average of Financial Assistance:** Average research and demonstration grant $100,000. Range from $30,000 to $300,000. State grants vary depending upon child population to be served.

**PROGRAM ACCOMPLISHMENTS:** Established as a part of the Children's Bureau, the National Center on Child Abuse and Neglect. In fiscal year 1981, the program funded 129 research, demonstrations, and service projects that reached over 75,000 children and family members, and through grants to 46 eligible states, served over 30,000 children and families.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations 45 CFR Part 1340, and 45 CFR Part 220, OHDS Grant Administration Manuals available at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the Regional Program Directors, Children, Youth and Families, Office of Human Development Services, Department of Health and Human Services, each Regional Office. (See Appendix IV for a list of addresses of the regional offices.)

**Headquarters Office:** Director, National Center on Child Abuse and Neglect, Children's Bureau, P. O. Box 1182, Washington, DC 20013. Telephone: (202) 245-2856.

**RELATED PROGRAMS:** 13.600, Administration for Children, Youth and Families—Head Start; 13.608, Administration for Children, Youth and Families—Child Welfare Research and Demonstration Grants; 13.645, Child Welfare Services—State Grants; 13.648, Child Welfare Services Training Grants.

**EXAMPLES OF FUNDED PROJECTS:** State grants; Primary Prevention of Child Abuse and Neglect Demonstrations; Upgrading Quality of Child Protective Services Demonstrations; Improvement of Services in Cases of Intrafamily Child Sexual Abuse.

**CRITERIA FOR SELECTING PROPOSALS:** Degree to which the proposal promises to meet the specific objectives defined, in the annual program announcement; reasonableness of cost; qualifications of staff; and for State grants, eligibility of the State as determined by DHHS.

## 13.630 ADMINISTRATION ON DEVELOPMENTAL DISABILITIES—BASIC SUPPORT AND ADVOCACY GRANTS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963, Public Law 88-164; as amended by Public Law 91-517, 94-103, 95-602, Title V, Omnibus Budget Reconciliaton Act of 1981, Public Law 97-35; Developmental Disabilities Assistance and Bill of Rights Act, as amended.

**OBJECTIVES:** To assist states in the provision of comprehensive services to assure that developmentally disabled persons receive services necessary to enable them to achieve their maximum potential through a comprehensive system of services and which insures the protection of their legal and human rights.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** (A) Allotments under basic formula grant may be used for State or local planning and administration relating to services and facilities for persons with developmental disabilities, and for providing assistance to public or private nonprofit agencies for the delivery of services; funds for administrative costs may not exceed 5 percent of a State's allotment or $50,000, whichever is less. (B) Allotments for protection and advocacy of rights of persons with developmental disabilities may be used to assist states in effecting a system which will have authority to pursue legal and other remedies to assure protection of rights of the developmentally disabled people within the State. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Designated State agencies of the respective States and the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Mariana Islands, American Samoa, and Trust Territory of the Pacific Islands; except that designated agencies receiving allotments for protection and advocacy of rights of the developmentally disabled must be independent of any agency which provides services to the developmentally disabled.

**Beneficiary Eligibility:** Persons with developmental disabilities attributable to a mental and/or physical impairment manifested before age 22 which result in a substantial limitation in at least three of seven functional areas defined by the legislation.

**Credentials/Documentation:** Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). The State Plan must be submitted 60 days prior to the beginning of the fiscal year for which the plan is applicable. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** (A) The State Plan prepared jointly by the State Administering Agency and the State Planning Council must be submitted to the appropriate Regional Office of the Administration on Developmental Disabilities for approval. (B) The report prepared by the designated protection and advocacy agency must be submitted by the Governor to the appropriate Regional Office of Administration on Developmental Disabilities for approval. Requests for advocacy allotments are submitted on the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102. Further instructions and guidelines may be obtained from the Administration on Developmental Disabilities appropriate DHHS Regional Offices.

**Award Procedure:** Upon approval of the Protection and Advocacy Report and the Basic Support State Plan by the Administration on Developmental Disabilities, State receives its annual allotment. It should be noted that a State Protection and Advocacy System must be operational before a State can receive this allotment. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. State agency provides assistance to public or private nonprofit agencies according to State procedures.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** A State can appeal the Commissioner's decision to disapprove the State plan by filing a request for a hearing within 21 days of the receipt of the disapproval decision.

**Renewals:** Automatic, under approved State plan.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Allotments determined as follows: two-thirds on basis of total population weighted by financial need as determined by relative per capita income for each State for the three most recent consecutive years for which data are available from the Department of Commerce; one-third on basis of need factor based on scope and extent of services to be provided under the State plan. The statistical factors used for fund allocation are: 1) population by State and the source is "Current Population Reports", P-25 No. 794, Bureau of the Census; 2) per capita income by State and the source is from the "Survey of Current Business", Bureau of Economic Analysis; and 3) persons receiving benefits under adult and child disability programs by State and the source is ORS/SSA (unpublished). Statistical factors for eligibility do not apply to this program. The Federal share of activities supported under the State Plan may not exceed 75 percent except for activities in urban or rural poverty areas which may not exceed 90 percent of the total project cost. No fixed match is required for Protection and Advocacy allotments.

**Length and Time Phasing of Assistance:** Funds provided under allotments must be obligated by states by the end of the fiscal year for which appropriations were received. Payments are made through Letter of Credit system or, when such is not practicable, on basis of payment requests from the State to meet current needs.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial reports, and annual progress reports for Protection and Advocacy and quarterly reports for Basic Support.

**Audits:** Grants are subject to periodic inspection and audit by Federal auditors.

**Records:** Three year record requirement; records shall be retained beyond the 3 year period if all findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $49,454,000; FY 82 est $49,133,000; and FY 83 est $31,977,000.

**Range and Average of Financial Assistance:** $30,000 to $3,095,218; $573,188.

**PROGRAM ACCOMPLISHMENTS:** This program provides leverage, accessing, and coordination of other service program provisions funded under other appropriations. These efforts have brought together an estimated $4.5 billion in Federal funds to provide support and services to the developmentally disabled. The current definition of developmentally disabled places emphasis on the criteria of chronicity, early onset, multiple impairment, and need for ongoing services involving a multiplicity of service providers and substantial functional limitation in at least three major life activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Part 74 Grant Administrative Requirements; and Program Guidelines and Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Commissioner, Administration on Developmental Disabilities, Department of Health and Human Services, Regional Offices (see Appendix IV of the Catalog for list of addresses).

**Headquarters Office:** Deputy Commissioner, Administration on Developmental Disabilities, Office of Human Development Services, Office of the Secretary, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 472-7210, Francis X. Lynch.

**RELATED PROGRAMS:** 13.631, Administration on Developmental Disabilities-Special Projects; 13.632, Administration on Developmental Disabilities-University Affiliated Facilities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.631 ADMINISTRATION ON DEVELOPMENTAL DISABILITIES—SPECIAL PROJECTS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963; Public Law 88-164, as amended by Public Laws 91-517, 94-103, 95-602, Title V, Omnibus Budget Reconciliation Act of 1981, Public Law 97-35; Developmental Disabilities Assistance and Bill of Rights Act, as amended.

**OBJECTIVES:** To provide support for projects to improve the quality of services to the developmentally disabled; public awareness and informational programs; demonstration of new or improved service techniques and service delivery; training; coordination of available community resources; providing technical assistance; to strengthen and assist the State Developmental Disabilities Protection and Advocacy Agencies; to assist the State Developmental Disabilities Councils and other agencies to further their deinstitutionalization planning and implementation; to strengthen the National Network of Developmental Disabilities University Affiliated Programs and related agencies; and to improve the quality of deinstitutionalization efforts.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Project grants are approved for personnel, equipment, travel, supplies, etc. Duplicative Federal assistance is precluded. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. Also: 1) to demonstrate how to establish programs which will expand or improve services to developmentally disabled persons; 2) to increase public awareness and public education programs; 3) to demonstrate services for economically disadvantaged; developmentally disabled persons; 4) to gather and disseminate information. Projects of National Significance must be designed: 1) to have a direct impact on developmental disabilities programs throughout the country; 2) to have an objective(s), which if achieved, could be replicated, could result in an improved delivery system for developmental disabilities services; or could affect National policies and/or standards; or 3) to involve activities to be conducted in a number of sites in various parts of the country as part of a unified program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of states, other public agencies, and nonprofit organizations are eligible.

**Beneficiary Eligibility:** Persons with developmental disabilities attributable to a mental and/or physical impairment.

**Credentials/Documentation:** Proof of community need and consistency with developmental disabilities State Plans. Proof of nonprofit status. Compliance with statutes, regulations, and approval of State agency and DHHS Regional Offices. Costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, Appendix C of which implements the requirements of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application to be coordinated with State agency; no preapplication form required. Preapplication conference is recommended; consultation and assistance in preparing application available at Regional Offices. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Projects of national significance are exempt. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Forms and instructions for project grants are available from HHS Central Office and the appropriate DHHS Regional Office. Forms and instructions for projects of national significance are available from the headquarters office, Administration on Developmental Disabilities, Office of Human Development Services, Department of Health and Human Services, Room 3644, North Building, 330 Independence Avenue, SW., Washington, D.C. 20201, Attn: 13631.811. Telephone: (202) 472-7213. One signed original and eight copies of the grant application, including all attachments must be submitted to the address specified in the application kit. In addition, concurrently, one (1) copy of the application should be submitted to the applicant's State Planning Council and two (2) copies to the appropriate DHHS Regional Office for review and comment. (Addresses for DHHS Regional Offices are included in the application kit). The application must be signed by an individual authorized to act for the applicant agency and to assume for the agency the obligations imposed by the terms and conditions of the grant award including the regulations for the Special Project Grants Program-Projects of National Significance. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed and recommendations made by the Regional Office, Administration on Developmental Disabilities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Successful applicants are notified through the issuance of a Notice of Financial Assistance Award which sets forth in writing the amount of funds granted, the purpose of the grant, the terms and conditions of the grant award, the effective date of the award, the budget period for which support is given and the total grantee participation. The initial award, when applicable, also specifies the project period for which support is contemplated.

**Deadlines:** Varied. Contact DHHS Regional Office for up-to-date information.

**Range of Approval/Disapproval Time:** 60 to 180 days according to the type of program being requested.

**Appeals:** No formal procedures. Resubmissions are invited.

**Renewals:** Renewals must compete with new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No fixed matching. Grantee participation of at least 10 percent is desirable.

**Length and Time Phasing of Assistance:** Grants may be approved for a period not to exceed 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Expenditure, statistical, and progress reports are required for each budget period. Final progress report is required 90 days after the end of project period.

**Audits:** All projects are subject to an audit by DHHS.

**Records:** Records must be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $3,612,000; FY 82 est $2,350,000; and FY 83 est $0. (Note: In FY 1983 similar activities may be carried out under the proposed Human Resources Research and Demonstration appropriations).

**Range and Average of Financial Assistance:** $25,000 to $561,700; $121,700.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 24 Projects of National Significance were funded for activity in the areas of advocacy, technical assistance, training, and projects for special groups. Funds were also expended to develop standards for services and projects in alternative living arrangements, child development and one project in non-vocational social development. In addition, 37 special projects, were funded for nonvocational social development projects involving dental services, offenders programs, recreation, and coordination of services within the community. Projects were funded for Regional technical assistance, training, case management, advocacy, public awareness, and projects for special groups.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Chapter XIII of Title 45 of the Code of Federal Regulations. Regulations published January 27, 1977, Federal Register, Vol. 42. No. 18, Part II.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Program Director, Office of Developmental Disabilities, HHS Regional Offices (see Appendix IV of the Catalog).

**Headquarters Office:** Division of Program Development and Demonstration, Administration on Developmental Disabilities, Office of Human Development Services, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 472-7213, Contact: Roland J. Queene.

**RELATED PROGRAMS:** 13.630, Administration on Developmental Disabilities—Basic Support and Advocacy Grants; 13.632, Administration on Developmental Disabilities-University Affiliated Facilities.

**EXAMPLES OF FUNDED PROJECTS:** To develop and implement a model demonstration training and staff development program to assist employees in the transition from state residential facilities to community programs. To increase the number and quality of minority professionals in the developmental disabilities service system by soliciting the participation of historically ad predominantly black colleges. To develop a model demonstration program in the provision of services to long term care developmentally disabled individuals in community residences. To develop a model demonstration program that will assist states improve the effectiveness and efficiency of providing services to hearing impaired developmentally disabled persons. To develop a model demonstration of protection and advocacy with institutionalized deveopmentally disabled persons. Determine to what extent economic, social and psychological barriers impact upon developmentally disabled family units and develop a model for alleviating their negative effects. To develop a model demonstration project that will assess the incidence, degree of severity and service needs of developmentally disabled persons pursuant to the new functional definition.

**CRITERIA FOR SELECTING PROPOSALS:** No application can be approved unless the State in which the applicant's project will be conducted has an approved State plan under this Act. Applications are also to be reviewed by the State Planning Council for the State in which it is to be conducted. Project's proposed design is complete and feasible, and includes measurable objectives and an evaluation component. Project does not supplant activities that are funded under other Federal programs. Competing grant applications will be reviewed and evaluated against the following criteria: 1) Quality of the Application (20 points); The description of the purposes and objectives of the grant activities, the major tasks to be accomplished, and difficulties likely to be encountered are clearly stated and show that the applicant has a thorough understanding of the Developmental Disabilities program and the particular project area of the Developmental Disabilities program the project addresses. 2) Technical Approach and Methodology (30 points); The proposed procedures and methodology for the project should be of high quality and technically sound. The methodology should be consistent with the applicant's stated purposes and objectives and show how the anticipated results of the project will be orderly and systematically achieved. Timetables for completion of the project should be definitive and realistic. Applicants should also include a discussion of how the procedures and results of the project will be evaluated; 3) Applicant Qualifications (30 points); Qualifications and professional experience of staff should be appropriate and adequate to fulfill their proposed roles and functions. The facilities and resources available to the project should be adequate for fulfilling the objectives of the project. Applications should be accompanied by letters of support from agencies and organizations whose interests and/or responsibilities are relevant to the purpose of the proposed project; 4) Relevance of Project Objectives to Program Goals (10 points); The objectives of the project should be clearly delineated. The discussion of the objectives should articulate the relevance of the project objectives to the objectives of the Special Project Grants Program-Projects of National Significance, and how the results of the proposed project will contribute to the achievement of those objectives; and 5) Budget (10 points); The proposed budget should be realistic, reasonable, and justifiable in terms of the project activities. If project costs are not within the range described in the program announcement, sufficient explanation should be provided to justify the discrepancies. Applications should include discussions of the feasibility and propriety of continuing the project after Federal funding ends, and plans for securing financial support, if appropriate.

## 13.632 ADMINISTRATION ON DEVELOPMENTAL DISABILITIES—UNIVERSITY AFFILIATED FACILITIES

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963, Part B; Public Law 88-164, as amended by Public Laws 91-517, 94-103, 95-602, Title V, Omnibus Budget Reconciliation Act of 1981, Public Law 97-35; Developmental Disabilities Assistance and Bill of Rights Act, as amended.

**OBJECTIVES:** To assist with the cost of administration and operation of facilities for (1) providing interdisciplinary training for personnel concerned with developmental disabilities, (2) demonstrations of the provision of exemplary services related to the developmentally disabled and (3) demonstration of findings related to the provision of services.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Salaries for administrators, coordinators, and others needed to operate a training facility such as clerical and financial personnel, maintenance and housekeeping personnel, overhead expenses, and expenses required to start up new programs; faculty for training programs which will meet critical manpower shortages and are not eligible for support from other sources. Health-related faculty and traineeship support are not available under this program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A public or nonprofit facility which is associated with, or is an integral part of a college or university and which aids in demonstrating the provision of specialized services for the diagnosis and treatment of persons with developmental disabilities, and which provides interdisciplenary and training for personnel concerned with developmental disabilities and the developmentally disabled.

**Beneficiary Eligibility:** Persons with developmental disabilities attributable to a mental and/or physical impairment.

**Credentials/Documentation:** Assurance of maintenance of effort; statement of financial resources, especially other federally assisted programs; identification of personnel needs and resources as found in developmental disabilities State Plans for the applicants service area; evaluation of present training programs and utilization of space in the facility; and capability of informing researchers and others in developments of services related research. Costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, Appendix C which implements the requirements of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application to be coordinated with State agency; no preapplication form required. Preapplication conference is recommended; consultation and assistance in preparing application available at Central and Regional Offices. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Forms are available from DHHS Central and Regional Offices. Completed form and narrative should be cleared through the State Planning Council Administering Agency and Protection and Advocacy office for review and comment. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are evaluated and grants awarded at DHHS Central Office; recommendations for funding are made by the headquarters office. Notification of awards must be made in accordance with Treasury Circular 1082.

**Deadlines:** Contact DHHS Central Office for latest information.

**Range of Approval/Disapproval Time:** 45 to 90 days.

**Appeals:** None.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Federal share of project grant awarded may not exceed 75 percent of total cost of project.

**Length and Time Phasing of Assistance:** Awards are made for a 12 month budget period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual progress report are required. Fiscal reports are required as prescribed by grant specifications. Final progress report is required upon project completion.

**Audits:** All project activities are subject to audit.

**Records:** Records must be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $6,499,000; FY 82 est $7,200,000; and FY 83 est $0. (Note: In FY 1983 similar activities may be carried out under the proposed Human Resources Research and Demonstration appropriation).

**Range and Average of Financial Assistance:** $250,000 to $300,000.

**PROGRAM ACCOMPLISHMENTS:** In 1981 core support grants were awarded to 36 University Affiliated Facilities and 5 Satellite Centers. The University Affiliated Facilities provide three types of program activities for the benefit of individuals who are developmentally disabled: (1) exemplary services, (2) interdisciplinary training, and (3) dissemination. The individuals served by UAF's can be divided into eleven causes by handicaps: mental retardation, autism, emotional handicap, cerebral palsy, physical handicap, epilepsy, deafness, blindness, dyslexia, learning disabled, and metabolic disorder.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Chapter XIII of Title 45 of the Code of Federal Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Program Director, Office of Developmental Disabilities, DHHS Regional Offices (see Appendix IV).

**Headquarters Office:** Division of Program Development and Demonstrations, Administration on Developmental Disabilities, Office of Human Development Services, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 472-7213. Contact: Roland J. Queene.

**RELATED PROGRAMS:** 13.233, Maternal and Child Health Federal Consolidated Program; 13.630, Administration on Developmental Disabilities-Basic Support and Advocacy Grants; 13.631, Administration on Developmental Disabilities-Special Projects.

**EXAMPLES OF FUNDED PROJECTS:** Grants to assist in the administration and operation of a public or nonprofit facility which is associated with an integral part of a college or university and provides training programs and delivery of services concerned with developmental disabilities.

**CRITERIA FOR SELECTING PROPOSALS:** A university affilated facility must provide and be in compliance with performance standards relating to: (1) interdisciplinary training for personnel concerned with developmental disabilities, (2) demonstration of the provision of exemplary services relating to persons with developmental disabilities, and (3) dissemination of findings relating to the provision of services to persons with developmental disabilities and providing researchers and government agencies sponsoring service-related research with information on the needs for service-related research.

## 13.633 SPECIAL PROGRAMS FOR THE AGING—TITLE III, PARTS A AND B—GRANTS FOR SUPPORTIVE SERVICES AND SENIOR CENTERS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Older Americans Act of 1965. Public Law 89-73, as amended by Public Laws 90-42, 91-69, 92-258, 93-29, 93-351, 95-65, 94-135, 95-478 and 97-115 Title III Parts A and B; Stat. 36-45, 42 U.S.C. 3021-3030g.

**OBJECTIVES:** To provide assistance to State and area agencies for support of programs for older persons via statewide planning, and area planning and provision of social services, including multi-purpose senior centers.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds are awarded to states to develop or strengthen comprehensive coordinated service systems through a network of designated state agencies on aging and area agencies on aging. A State plan covering two, three or four years, with annual revisions as necessary must be submitted for approval to the Commissioner on Aging. Area Plans are to be submitted to the state agencies for approval. Of the funds awarded for supportive services and centers at least $20,000 or 1 percent (whichever is greater) must be used for an ombudsman program on long term care, up to 8.5 percent of the funds awarded may be used for the administration of area plans, an adequate proportion of the funds awarded to area agencies (exclusive of the amounts used for area agency administration and the long term care ombudsman programs) must be used for access, legal and/or in home services. The remaining funds may be used for other services and for the acquisition, renovation, alteration or construction of multipurpose senior centers as described in the above plan. A state may elect to transfer up to 20 percent of the funds appropriated between Supportive Services and Senior Centers and Nutrition service for use as the state considers appropriate.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All states and territories with approved State Plans and which have State agencies on Aging designated by the governors.

**Beneficiary Eligibility:** Older persons, especially those with the greatest social and economic needs. minority older persons.

**Credentials/Documentation:** A State Plan, based on area plans is required to be submitted by the Governor. The procedures required under Part III, Attachment A of OMB Circular No. A-95 (revised) must be followed. Submission date is 60 days before the beginning of the period for which the State Plan applies. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** (1) State plans must be based on area plans; (2) the state must hold pubic hearings on the State plan; (3) The State must submit the State plan for review and comment by the State Advisory Council; and (4) the State must submit the State plan for review and comment by the Governor. It is recommended that State agencies keep in touch with regional offices throughout the development of the State plan and avail themselves of the technical assistance that the regional offices can offer. Regional offices offer consultation and technical assistance to State agencies throughout the development of the State plan. This program requires coordination with the policies of OMB Circular No. A-102.

**Application Procedure:** State Plans are required to be submitted by the State Governor on a prescribed State Plan format.

**Award Procedure:** The State Governor, submits the State plan for review to the regional office which in turn comments and forwards same to the central office for approval. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. State agencies approve and award funds to substate level organizations. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Deadlines:** Set annually, generally, 60 days before the beginning of the period for which the State Plan applies.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Through prescribed appeal procedures if a State Plan is disapproved, as provided in Section 307 of the Older Americans Act of 1965 as amended.

**Renewals:** State Plans are submitted for a two to four year period and revised as necessary.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Programs are funded on a Federal, State matching basis as follows: State Agency Administration, 75-25; Administration of Area Plan, 75-25; Supportive Services and Multipurpose Senior Centers, 85-15, (OAA Section 304(d) and 308(a)(1) Cash or in-kind resources from nonfederal resources. State resources must provide at least 5 per cent (one-third) of the 15 per cent match required. The law does not require that the nonfederal share requirement vary from year to year. The statistical factor used for fund allocation is the population in a State aged 60 years and over and the source is from the "1980 Decennial Census", as revised (OAA section 304(a) and 308(b). Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** State agencies must obligate funds within the fiscal year for which they are appropriated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** SF 269 Financial Status Report (Quarterly). Quarterly Program Performance Report.

**Audits:** Subject to audit by DHHS Audit Agency.

**Records:** Records must be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** Area Plan Administration and Social Services and Multipurpose Senior Centers: FY 81 $250,918,000; FY 82 est $240,869,000; and FY 83 est $216,199,000. State Agency Administration: FY 81 $22,675,000; FY 82 est $21,673,000; and FY 83 est $19,928,000.

**Range and Average of Financial Assistance:** Area Plan Administration and Supportive Services, and Multipurpose Senior Centers: $149,038 to $22,936,236; $4,295,000. State Agency Administration: $75,000 to $1,599,454; $397,017.

**PROGRAM ACCOMPLISHMENTS:** Statewide Planning: The management capability of State Agencies was developed and strengthened. State agencies submitted and had approved State Plans in accordance with National and local priorities. Area Plan Administration and Supportive Services and Senior Centers: Special emphasis was placed on the coordination of existing programs and the pooling of untapped resources.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 74 and 45 CFR 1320.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Directors, Office of Aging, Administration on Aging, Office of Human Development Services, Office of the Secretary, Department of Health and Human Services, Regional Offices (see Appendix IV).

**Headquarters Office:** Charles Wells, Acting Associate Commissioner, Office of Program Operations, Administration on Aging, Office of Human Development Services, Department of Health and Human Services, Washington DC 20201. Telephone: (202) 245-0011.

**RELATED PROGRAMS:** 13.635, Special Programs for the Aging-Title III Part C - Nutrition Services; 13.655, Special Programs for the Aging, Title VI - Grants to Indian Tribes; 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Non-competitive. State grants awarded based on approval of State Plan.

## 13.635 SPECIAL PROGRAMS FOR THE AGING—TITLE III, PART C—NUTRITION SERVICES

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Older Americans Act of 1965, Public Law 89-73, as amended by Public Laws 90-42, 91-69, 92-258, 93-29, and 93-351, 94-135, 95-65, 95-478, and 97-115; Title III, Part C, 79 Stat. 218-226, 81 Stat. 106-108, 82 Stat. 1101, 83 Stat. 108-115, 42 U.S.C. 3030e-3030g.

**OBJECTIVES:** To provide older Americans with low cost nutritious meals, and with appropriate nutrition education and other appropriate nutrition services. Meals may be served in a congregate setting or delivered to the home.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Local projects must provide a hot or other appropriate meal at least once per day, five or more days per week to people aged 60 and over and their spouses. Up to 8.5 percent of the funds may be used for area agency administration. States may transfer from one allotment to another 15 percent or less of the States' separate allotment for Home Delivered Nutrition Services and Congregate Nutrition Services; and request authorization to transfer funds in excess of 15 percent. In addition states may transfer up to 20 percent of their allotments for Nutrition Services and Supportive Services and Senior Centers for use as the states considers appropriate.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All states and territories with approved State Plans.

**Beneficiary Eligibility:** Older persons aged 60 and over and their spouses, especially those older persons with the greatest social or economic need.

**Credentials/Documentation:** A State Plan, based on area plans, is required to be submitted by the Governor. Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Submission date is 60 days before the beginning of the period for which the State Plan applies. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** (1) State plans must be based on area plans; (2) The State must hold hearings on the State plan; (3) The State plan must be submitted to the State Advisory Council for review and comment; (4) The State plan must be reviewed by the Governor. It is recommended that State agencies keep in touch with regional offices throughout development of the State plan and avail themselves of the technical assistance that the regional offices can offer. Regional offices offer consultation and technical assistance to State agencies throughout development of the State plan. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). This program requires coordination with the policies in OMB Circular No. A-102.

**Application Procedure:** State Plans are required to be submitted by the State Governor on a prescribed State Plan format.

**Award Procedure:** The State Governor, submits the plan for review and comment to the regional office which in turn comments and forwards same to the central office for approval. Notification of grant award is made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. State agencies approve and award funds to substate level organizations.

**Deadlines:** 60 days before the beginning of the period for which the State Plan applies.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Through prescribed appeal procedures of a State Plan if disapproved, as provided in Section 307 of the Act.

**Renewals:** State Plans are submitted for a three year period with annual revisions as necessary.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The nutrition portion of this program is funded on a Federal/State matching basis at a ratio of 85-15. States are required to provide at least 5 percent (one-third) of the 15 percent required match. Cash or in-kind resources from nonfederal resources. The law does not require that the nonfederal share vary from year to year. The statistical factor used for fund allocation is the population in a State aged over 60 years and the source is from the "1980 Decennial Census", as revised. Statistical factors for eligibility do not apply to this program. The area agency administration portion is funded at a 75-25 ratio. (OAA section 304(a) and (d).)

**Length and Time Phasing of Assistance:** State agencies must obligate funds within the fiscal year for which funds are appropriated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Quarterly Program Performance and SF 269 Report; (2) 601 T Financial Status Report (quarterly).

**Audits:** Subject to audit by HHS Audit Agency.

**Records:** Records must be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) Congregate Nutrition Services: FY 81 $291,368,000; FY 82 est $286,749,000; and FY 83 est $258,133,000;

Home Delivered Nutrition Services: FY 81 $56,865,000; FY 82 est $57,350,000; and FY 83 est $48,142,000; USDA FY 83 est $84,022,000.

**Range and Average of Financial Assistance:** (Congregate Nutrition Services) $177,426 to $26,872,040; $5,070,021; (Home-delivered Nutrition Services) $35,031 to $5,005,703; $978,382.

**PROGRAM ACCOMPLISHMENTS:** By the end of fiscal year 1981, approximately 702,000 meals were served daily. It is estimated that in fiscal year 1982, 677,163 meals will be supported per day. The number of meals represent those supported from Title III and other Federal and nonfederal sources.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 74 and 45 CFR 1320.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Directors, Office of Aging, Administration on Aging, Office of Human Development Services Office of the Secretary, Department of Health and Human Services, Regional Offices (See Appendix IV).

**Headquarters Office:** Charles Wells, Acting Associate Commissioner, Office of Program Operations, Administration on Aging, Office of Human Development Services, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 245-0011.

**RELATED PROGRAMS:** 13.633, Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Social Services and Senior Centers; 13.655, Special Programs for the Aging, Title VI - Grants to Indian Tribes; 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Programs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Non-competitive State grants awarded based on approval of State Plan.

## 13.645 CHILD WELFARE SERVICES—STATE GRANTS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, Sections 420-425 and 427-428; Public Law 96-272, Section 103; 94 Stat. 516; 42 U.S.C. 620-625 and 627-628.

**OBJECTIVES:** To establish, extend, and strengthen child welfare services provided by State and local public welfare agencies in order to enable children to remain in their own homes, or, where that is impossible, to provide alternate permanent homes for them.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for such things as: costs of personnel to provide protective services to children; licensing of, and standard-setting for private child-caring agencies and institutions; and assisting with costs of homemaker services, return of runaway children, and prevention and reunification services. Funds for foster care, day care, and adoption assistance under this program are limited. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any single State Agency in the 50 States, the District of Columbia, Puerto Rico, the Northern Marianas, the Virgin Islands, and Guam.

**Beneficiary Eligibility:** Any families and children in need of child welfare services.

**Credentials/Documentation:** Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). The State department which administers the services program under Title XX must be the designated single State agency to administer child-welfare services and must give assurances that the provisions of the State Plan are met. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State Governors or single State agency executives review State Plans, amendments, quarterly estimates and any other federally required reports. Regional office staff are available to assist with technical development of State Plans, amendments, revisions, etc.

**Application Procedure:** Made in the form of a State Plan prepared jointly with the Regional Program Director, Children, Youth and Families OHDS, in a format prescribed by OHDS.

**Award Procedure:** The Commissioner for Children, Youth, and Families, OHDS, makes final decisions on all award applications. Awards are made quarterly. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** The Annual Budget portion of the State Plan is due in the Regional Office 30 days preceding the beginning of the fiscal year.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each State receives a uniform amount of $70,000 for child-welfare services. The balance of the Federal child-welfare services appropriation is allotted to states on a variable formula which takes into account the child population under 21 and inversely the State per capita income. The statistical factors used for fund allocation are: 1) the population of children under 21 years of age by State and the source is from "Current Population Reports", P-25, Bureau of the Census, and 2) three year average per capita income by State and the source is from the Bureau of Economic Analysis, Department of Commerce. Statistical factors for eligibility do not apply to this program. States receive Federal matching at a rate of 75 percent of their expenditures up to the limit of each state's allocation.

**Length and Time Phasing of Assistance:** Grant awards are made quarterly on a fiscal year basis. Monthly Letters of Credit are issued for cash draws from Federal Reserve Banks.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States are required to submit quarterly expenditure reports.

**Audits:** States are required to maintain their own audit system. The methods are not prescribed by the Federal agency. However, there must be a system for field supervision and for performance audit. In addition, the HHS Audit Agency makes periodic audits of the State programs.

**Records:** States are required to maintain adequate fiscal records, and to make reports as required by DHHS.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1634-0-1-506.

**Obligations:** (Grants) FY 81 $172,716,000; FY 82 est $156,326,000; and FY 83 est unknown. (Note: In FY 1983 these activities may be carried out under the proposed Child Welfare Block grant appropriation.)

**Range and Average of Financial Assistance:** $112,530 to $4,420,291; $1,046,296.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 it is estimated that the number of children receiving services will be about 203,000. The same level of service will be provided in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Part 1392; Guidelines for Joint Development of State Child Welfare Services Plan and "Federal Interagency Day Care Requirements."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Potential State applicants should make initial contact with Regional Program Director, Children, Youth and Families, OHDS. (see Appendix IV of the Catalog).

**Headquarters Office:** Frank Ferro, Associate Chief, Children's, Bureau, Administration for Children, Youth and Families, OHDS, HHS, P.O. Box 1182, Washington, DC 20013. Telephone: (202) 755-7418.

**RELATED PROGRAMS:** 13.600, Administration for Children, Youth, and Families—Head Start; 13.608, Administration for Children, Youth, and Families-Child Welfare Research and Demonstration;

13.628, Child Abuse and Neglect Prevention and Treatment; 13.646, Work Incentive Program; 13.648, Child Welfare Services Training Grants; 13.812, Assistance Payments-Research; 15.103, Indian Social Services-Child Welfare Assistance; 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.646 WORK INCENTIVE PROGRAM (WIN)

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR IN COOPERATION WITH OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Amendments of 1967, Public Law 90-248, as amended 81 Stat. 821, 42 U.S.C. 601 et seq; 42 U.S.C. 630; Public Law 92-223, 85 Stat. 802, 42 U.S.C. 601 et seq.; 42 U.S.C. 602; Revenue Act of 1971, Public Law 92-178, 85 Stat. 497, 26 U.S.C. 31 et seq.; Public Law 94-12, 89 Stat. 26 et seq., 26 U.S.C. 50A; Public Law 94-401, 90 Stat. 1217, 26 U.S.C. 50A; Tax Reform Act of 1976, Public Law 94-455, 90 Stat. 1903, 26 U.S.C. 50A; Revenue Act of 1978, Public Law 95-600; Stat. 2763 et seq., 26 U.S.C. 50A, 50B; Unemployment Compensation Amendments 1976, Public Law 94-566, 90 Stat. 2689, 42 U.S.C. 601 et seq.; Social Security Disability Amendments of 1980, Public Law 96-265; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To move men, women, and out of school youth, age 16 or older from dependency on AFDC grants to economic independence through permanent, productive employment by providing appropriate employment training, job placement and other related services, supplemented by child care and other social services when needed to enable a person to participate or secure employment.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** This integrated DOL/HHS program is directed to employable welfare recipients and applicants under the program of Aid to Families with Dependent Children (AFDC) who are required to register for work, training and employment related services, or who volunteer. Employment and training services offered include: assistance in finding and entering employment using such methods as group job seeking, on-the-job training, institutional training, work experience, and the use of non-WIN funded services when available. WIN also provides funding for expenses related to participation, such as transportation as well as lunches, and incentive payments. WIN employment and training services are supplemented by WIN funded social services provided and/or arranged by a Separate Administrative Unit (SAU) of the State welfare agency such as (1) child care; (2) employment related remedial care and health related services; (3) counseling; (4) family planning; and (5) selected vocational and rehabilitation services. Employers hiring WIN registrants are eligible for a tax credit. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Employment Service agencies usually administer the WIN program. Social services are provided through a Separate Administrative Unit of the welfare agency. WIN services are available in all States as well as in Puerto Rico, the Virgin Islands, and Guam. In 1982, under P.L. 97-35, States have the option to run a WIN demonstration program, under the auspices of the State welfare agency, rather than the dual agency administration. The Office of Family Assistance, Health and Human Services, administers the WIN demonstration program under Section 445 of the Social Security Act, Part II, C.

**Beneficiary Eligibility:** Applicants and recipients of Aid to Families with Dependent Children (AFDC) who are required by law to register with WIN or who choose to register voluntarily.

**Credentials/Documentation:** Governors or their designated plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (Revised). The annual State plan deadline is August. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** WIN State Budget and Goals are established by the National Coordination Committee. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The WIN demonstration States follow office of family asssistance/HHS guidance.

**Application Procedure:** State Employment Service sponsors and SAU's submit grant and budget package following guidelines set by the National Coordination Committee (NCC) in Regulations and Handbook to the appropriate Regional Office. The WIN demonstration States follow office of family assistance/HHS guidance.

**Award Procedure:** Awards for program sponsors are generally given to State Employment Services, but the Regional Coordination Committee (RCC) has the final responsibility to designate the program sponsor. The Regional Director, OFO, makes final decisions on all award applications for State welfare agencies and the awards are made quarterly. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. The WIN demonstration states follow Office of Family Assistance/HHS guidance.

**Deadlines:** Application for WIN employment and training agencies should be received prior to the beginning of each fiscal year. Applications for welfare agencies should be received 30 days prior to initiation of the program. The WIN demonstration States follow Office of Family Assistance/HHS guidance.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable for WIN employment and training agencies. No formal procedures for welfare agencies.

**Renewals:** Not applicable for WIN employment and training agencies. Renewed and revised annually for Welfare Agencies.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For employment and training agencies, and welfare agencies, a maximum of 90 percent can be Federal funds with 10 percent nonfederal cash or inkind matching. The statistical factors used for fund allocation are: 1) mandatory allocation based on the number of WIN registrants by State and the source is from agency administrative records provided by each State, and 2) discretionary allocation based on performance in eleven categories. Statistical factors for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Each State receives a total WIN program planning level for the fiscal year. The State WIN sponsor and State welfare agency develop the annual State WIN Plan allocating resources to their respective program activities. WIN sponsors are funded on a fiscal year basis. Program financing is normally accomplished through Letter of Credit drawdowns needed to meet immediate cash requirements. For welfare agencies, funds are awarded quarterly based on quarterly estimates from State welfare agencies and annual limits of entitlement for expenditures as determined in the approved annual State WIN Plan. Monthly Letters of Credit are issued for cash draws from the most conveniently located Federal Reserve Bank.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Internal reports as required.

**Audits:** Subject to audits by the Department of Labor and Department of Health and Human Services, other authorized Government agencies or independent public accountants selected by USDOL, conducted in accordance with the "Standards for Audit of Governmental Organizations, Programs, Activities and Functions" issued by the Comptroller General of the United States and any audit guide(s) issued by USDOL and DHHS for this program. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** State and local WIN employment and training agencies and welfare agencies are required to keep records of finances, program activities and registrant characteristics for 3 years, or longer if audit findings have not been resolved. They are also required to submit periodic financial and non-financial reports as required by the Department of Labor and the Department of Health and Human Services.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1639-0-1-504.

**Obligations:** (Grants) DOL/DHHS FY 81 $370,987,000; FY 82 est $231,760,000; and FY 83 est $0. (Note: In 1983 separate WIN funding is not provided. Instead, the states will be able to combine the programs from resources from 13.677, Social Services Block Grant.)

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,154,950 individuals were newly enrolled, and 319,266 individuals entered unsubsidized jobs resulting in annualized welfare grant reductions of about $760 million. With a 33 percent reduction in resources in 1982, it is estimated that 700,000 individuals will be newly enrolled and served in fiscal year 1981, and that at least 275,000 will be placed in unsubsidized jobs. These outputs assume the WIN demonstration programs will produce at a similar rate as WIN.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations may be found in Title 20, CFR Chapter V, Part 664, Title 45, Chapter II, Parts 220, 233 and 234, and 45 CFR, Part 1398 "What You Should Know About WIN." "Protecting Your Rights Under the WIN Program." "WIN Handbook", Twelfth Annual Report to the Congress (no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the local office of the State Employment Service, the State welfare agency or the Regional Coordination Committee (See Appendix IV of the Catalog for list of addresses).

**Headquarters Office:** Executive Director, National Coordination Committee, Work Incentive Program, Washington, DC 20213. Contact: Robert Easley, Telephone: (202)376-7030.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program; 13.808, Assistance Payments-Maintenance Assistance; 17.232, Comprehensive Employment and Training Programs; 17.233, Employment and Training Research and Development Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Non-competitive awards are made to States. This section is not applicable.

## 13.647 SOCIAL SERVICES RESEARCH AND DEMONSTRATION

**FEDERAL AGENCY:** OFFICE OF POLICY DEVELOPMENT, OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, as amended, Title XI, Sections 1110 and 1115; Public Laws 86-778, 90-248, and 88-452; 42 U.S.C. 626, 1310, and 1315.

**OBJECTIVES:** To discover, test, demonstrate, and promote utilization, administration, and effectiveness of new social service concepts which will provide service to dependent and vulnerable populations such as the poor, the aged, children and youth, Native Americans, and the handicapped to meet goals of the Social Services Block Grant Program (13.667).

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:** Grants, cooperative agreements, and contracts are awarded for innovative research and demonstrations of regional and national significance that are responsive to OHDS program priorities. Funds authorized by Section 1115 of the Social Security Act are limited to State public assistance agencies. Non-profit organizations must work cooperatively through these agencies in order to access this funding mechanism. All applications must meet standards of excellence in research or evaluation design. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants and cooperative agreements may be made to/with States and nonprofit organizations. Contracts may be executed with nonprofit or profit organizations. Grants or cooperative agreements cannot be made directly to individuals.

**Beneficiary Eligibility:** The poor, the aged, children, youth and the handicapped.

**Credentials/Documentation:** Applicants must present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or services, and proof of non-profit status. Costs will be determined in accordance with Part 79 of Title 45 of the Code of Federal Regulation, Appendix C of which implements the requirements of OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Office of Human Development Services/OADS research demonstration and evaluation priorities for each fiscal year are publicized through central and regional office meetings, "Commerce Business Daily" for contracts, "Federal Register," (for grants/cooperative agreements) issuance of grant guidelines and requests for proposals, and other appropriate means. Very limited funds are reserved for creative, unsolicited proposals. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms are available from the Division of Research and Demonstrations, OHDS, DHHS, 200 Independence Avenue, S.W., Room 723-E, Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Official notice of approved applications is made through issuance of a Notice of Financial Assistance Awarded (Form HDS-102).

**Deadlines:** Established when grants, cooperative agreements, and contracts are solicited by Grant Guidelines and Request for Proposals. Unsolicited applications may be submitted any time. Office of Policy Development R&D deadlines will be announced in the Federal Register.

**Range of Approval/Disapproval Time:** Range from 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 90 days.

**Appeals:** No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, reworking time may be allowed to prepare addenda which clarify various aspects of projects.

**Renewals:** Extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee or contractor must submit each year a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantees are required to share in the cost of projects. The average cost sharing is 5 percent of total project costs (not for 1115 projects). Although cost-sharing funds for 1115 projects can be provided, they are not required.

**Length and Time Phasing of Assistance:** Funds are granted on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of progress and expenditures are required on all projects. Comprehensive final reports are due within 30 days of termination dates of the projects.

**Audits:** All fiscal transactions identifiable to Federal financial assistance are subject to audit by HHS audit agency. Federal audits will be made in accordance with the policies of FMC 73-2 to assure the funds have been applied efficiently, economically, an effectively.

**Records:** Proper accounting records, identifiable by grant or contract number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $3,935,000; FY 82 est $0; and FY 83 est $0. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined. In FY 1983 similar activities may be carried out under the proposed Human Resources Research and Demonstration appropriation.)

**Range and Average of Financial Assistance:** Grants and contracts by the Office of Policy Development/HDS range from $100,000 to $250,000, averaging about $150,000.

**PROGRAM ACCOMPLISHMENTS:** The conceptualization and development of R,D, and E projects was, in 1980, a result of a rigorous process to link Office of Policy Development R and D projects to agency priorities and objectives. All of the OPD/HDS projects were, and will continue to be, focused to promote: (a) client services-finding out about different types of services-what works?; (b) Federal policy-evaluating, assessing, testing certain programs or policies that may lead to a change in legislation, regulation, or administrative procedures; (c) services management-finding out what happens to people in systems, and State and local practices-improving State/local management; (d) dissemination/transfer-disseminating or transferring R and D findings; and (e) special initiatives of the Secretary, Assistant Secretary. Significant products resulted in a number of areas, e.g., planning and implementation guidelines for coordinated agency transportation services, effective fiscal management in Human Services programs; analyzing costs in Human Services programs; rediscovering governance-using non-service approaches to address social welfare problems; Residential Child Care Guidebook, "Assuring The Quality Of Human Services-A Conceptual Analysis". It is anticipated that in fiscal year 1982, about 20 projects (including continuations and new starts) may be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants Administration policies may be obtained free from the Division of Grants and Contracts Management, OHDS, 300 Independence Avenue, S.W. Room 1740, Washington, DC 20201. Washington, DC 20201.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Appropriate OHDS Regional Administrator (see Appendix IV of the Catalog regional offices).

**Headquarters Office:** Mr. Norman Goldstein, Acting Director, Division of Research and Demonstrations, Office of Policy Development, Department of Health and Human Services, Room 732-E, H. Humphrey Building, 200 Independence Ave, S.W., Washington, DC 20201. Telephone: (202) 245-6233.

**RELATED PROGRAMS:** 13.608, Administration for Children, Youth and Families—Child Welfare Research and Demonstration; 13.645, Child Welfare; Services-State Grants; 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children.

**EXAMPLES OF FUNDED PROJECTS:** 1) The Children's Services Monitoring Transfer Consortium, which completed a number of state-to-state transfers including an Indicator Checklist and a Day Care Licensing Enforcement Program Monitoring System; 2) the Residential Child Care Institutions Project, which has implemented model Residential Care Facility Standards; and 3) the Using Non-Services Approaches to Social Welfare Problems, which has developed guides for city and county officials to integrate non-service planning with their ongoing programmatic systems.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Project objectives must be related to specific OPD/HDS goals and priorities defined in program announcements. Project objectives should be explicitly described and have measurable outcomes. Impacted OPD/HDS target groups should be individually and quantitatively estimated. The concept to be researched or demonstrated should be reflected in a clear statement of purpose. A literature review should indicate the concept is innovative and not duplicative of other efforts. The knowledge, methods, or technology developed and of national significance in demonstration projects should be replicable in whole or in part and potentially applicable in areas other than the test sites. 2) A well-defined and carefully worked out methodology (hypotheses to be tested, research design, identification of variables, analytical methodologies, evaluation methods) must be included. Tasks and milestones should be clearly described and scheduled and the role and assignment of tasks to specific project staff described in detail. Project outcomes are described in relationship to tasks. The proposed time schedule should be reasonable considering data collection and analysis procedures geared to assessment of the degree to which intended objectives are achieved using quantitative measures to the maximum extent feasible. The evaluation is clearly distinguished from activities designed primarily for giving project staff feedback on their progress toward meeting project objectives. 3) The estimated budget must be given in detail with justifications and explanations. 4) Detailed plans for utilization of a research or a demonstration project's result at: (1) National or Regional HDS policy/program level, or (2) a State or local government agency policy/program level, should be included with detailed plans for appropriate dissemination procedures. 5) A brief and focused record of the applicant organization in conducting related research or demonstration project activities should be provided. The proposal should include qualifications of the project personnel and identify how those qualifications would enable those people to perform their assigned tasks in the project in a competent manner. The applicant organization should have adequate facilities and resources to carry out the project. The contribution of any collaborative agencies or organizations should be assured in writing and included with the application when it is submitted. The author(s) of the application must be clearly identified in the proposal together with their current relationship to the applicant organization and any future project role they have if the application is funded.

## 13.648 CHILD WELFARE SERVICES TRAINING GRANTS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act of 1935, Section 426(a) (1) (c), 42 U.S.C. 626 (a) (1) (c).

**OBJECTIVES:** To develop and maintain an adequate supply of qualified and trained personnel for the field of services to children and their families, and to improve educational programs and resources for preparing personnel for this field.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Section 426 grants are made to accredited State or local government or other nonprofit institutions of higher learning for special projects for training personnel for work in the field of child welfare. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited institutions of higher learning.

**Beneficiary Eligibility:** Traineeship awards are made to accredited schools of social work. Student applications are made to recipient institutions.

**Credentials/Documentation:** Grants to educational institutions are made only to accredited institutions. Costs are determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations which implements OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Institutions applying for training grants are advised to consult with appropriate State program agencies concerning their proposals. Standard application forms prescribed by OMB Circular No. A-102 are required. Notification of awards must be made in accordance with Treasury Circular 1082.

**Application Procedure:** Application for teaching or traineeship grants is made to appropriate Regional Program Director, Children, Youth, and Families, OHDS. Applications for teaching grants and traineeship grants should be requested from the appropriate regional office. Applications for short-term grants should be requested from ACYF, Childrens Bureau, Division of Training and Technical Assistance, P.O. Box 1182, Washington, DC 20013. This program is subject to the provision of OMB Circular No. A-110.

**Award Procedure:** Award action on new and continuation teaching and traineeships applications are delegated to the Regional Program Director ACYF. Projects of national significance are awarded after review by a panel of nonfederal persons, with final decision by the Commissioner, ACYF in the Headquarters office.

**Deadlines:** Applications must be received on or about May 1 of each year. Pre-use dates are in the annual program announcement.

**Range of Approval/Disapproval Time:** Applications for grants are acted upon once a year between May 1 and June 30.

**Appeals:** None.

**Renewals:** Renewals and extensions are available only through the competitive new application process.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Most grants are awarded for a period of 1 year but may be continued for a longer period subject to the availability of funds for the program or renewal through the competitive review process.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports and all fiscal reports are made to the awarding officer of ACYF, OHDS.

**Audits:** Periodic audits should be made as part of the recipients system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0581-0-1-500.

**Obligations:** (Grants) FY 81 $5,199,000; FY 82 est $3,823,000; and FY 83 est $0. (NOTE: In FY 1983 similar activities may be carried out under the proposed Child Welfare Block Grant appropriation.)

**Range and Average of Financial Assistance:** Average grant under Section 426 is $50,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 there were 67 teaching awards and 105 training awards made; and there were 11 child welfare training center awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Training Grant Guidelines are issued annually. Grants administration policies are available at all times in each regional office. No charge for guidelines and policies.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the Regional Program Director, ACYF, OHDS in the appropriate regional office.

**Headquarters Office:** Frank Ferro, Associate Chief, Children's Bureau, P.O. Box 1182, Washington, DC 20013. Telephone: (202) 755-7418.

**RELATED PROGRAMS:** 13.608, Administration for Children, Youth and Families—Child Welfare Research and Demonstration; 13.628, Child Abuse and Neglect Prevention and Treatment; 13.645, Child Welfare Services-State Grants; 13.810, Assistance Payments-State and Local Training.

**EXAMPLES OF FUNDED PROJECTS:** Sixty-seven teaching grants, and 105 traineeship grants providing support for 726 students were awarded in fiscal year 1981.

**CRITERIA FOR SELECTING PROPOSALS:** Degree to which the proposal shows promise of meeting specific objectives defined in the annual program announcement, reasonableness of cost, qualifications of the institution applying and staff.

## 13.652 ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES—ADOPTION OPPORTUNITIES

**FEDERAL AGENCY:** ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES, OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Title II, Section 203, Public Law 95-266, 42 U.S.C. 5113 et seq.

**OBJECTIVES:** To provide financial support for demonstration projects to improve adoption practices. To gather information on adoptions and to provide training and technical assistance to provide improved adoption services.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are for (1) special demonstration projects in the field of adoption which are of regional or national significance, and (2) projects which demonstrate new methods or facilities showing promise of substantial contribution to the advancement of additional contracts for special projects including data gathering, technical assistance, and material preparation. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: State or local government or non-profit institutions or higher learning, State and local government or non-profit organizations engaged in research on child welfare activities. Contracts: Public and private non-profit agencies and organizations.

**Beneficiary Eligibility:** Children who require adoptive services and families.

**Credentials/Documentation:** Non-profit organizations which have not previously had OHDS support must submit proof of non-profit status. Applicable costs and administrative procedures will be determined by 45 CFR Part 74 which implements OMB Circular No. A-87 and OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Limited consultation available at Headquarters office. The standard application forms as furnished by Federal Agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be submitted to The Administration for Children, Youth and Families headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** After review and recommendation by a nonfederal panel, the Commissioner, ACYF, makes final decision. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Determined annually and specified in the annual program announcement which appears in the Federal Register.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** Grants: None. Contracts: Adverse decisions may be appealed to the OHDS Contracts Branch.

**Renewals:** Renewals are available for multi-year grants through formal submission of progress reports and continuation applications. Funding for multi-year grants is provided on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Grants may extend from 1 to 5 years. Average duration is expected to be 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial reports, quarterly progress reports annually. Final progress report, financial report due at completion of grant.

**Audits:** Periodic audits should be made as part of the recipient's system of financial management and internal control to meet the terms and conditions of the grant and other agreements.

**Records:** Grantees are required to keep financial and other grant records for three years after the completion of the grant or completion of audit whichever occurs first.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants and Contracts) FY 81 $5,000,000; FY 82 est $1,912,000; and FY 83 est $0. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined. In FY 1983 similar activities may be carried out under the proposed Human Resources Research and Demonstration appropriation.)

**Range and Average of Financial Assistance:** Estimated $50,000 to $500,000.

**PROGRAM ACCOMPLISHMENTS:** Provision of technical assistance to all states and many local and private agencies in improving adoption practices, through 10 Regional Resource Centers and creation of a National adoption information exchange.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Priority statements, application information and submission deadline available at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Susan Weber, Grants Coordinator, Training and Technical Assistance Division, Children's Bureau, Administration for Children, Youth and Families, P.O. Box 1182, Washington, DC 20013. Telephone: (202) 755-7820.

**RELATED PROGRAMS:** 13.608, Administration for Children, Youth and Families—Child Welfare Research and Demonstration; 13.645, Child Welfare Services-State Grants; 13.648, Child Welfare Services Training Grants.

**EXAMPLES OF FUNDED PROJECTS:** Eleven Adoption Resource Centers and the National Adoption Exchange.

**CRITERIA FOR SELECTING PROPOSALS:** The degree to which proposal shows promise of meeting specific objectives defined in a program announcement; reasonableness of cost; qualification of staff.

## 13.655 SPECIAL PROGRAMS FOR THE AGING—TITLE VI—GRANTS TO INDIAN TRIBES

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Older American Act of 1965, Public Law 89-73, as amended by Public Laws 90-42, 91-69, 92-258, 93-29, 93-351, 94-135, 95-65, 95-478 (Title VI); and 97-115; 36 Stat. 45, 42 U.S.C. 3057.

**OBJECTIVES:** To promote the delivery of services to older Indians. Services are comparable to services provided under Title III of the Older Americans Act of 1965, as amended.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are available through grants to eligible Indian tribal organizations to promote the delivery of services comparable to services provided under Title III programs for Indians not served by Title III programs. These services include services necessary for the welfare of older Indians such as: water services, road cleaning, nutrition services, and any other services authorized under Title III. Funds may also be used for the alteration, lease or renovation of a facility to be used as a multipurpose Indian senior center and for staffing the center.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federally recognized Indian tribal organizations which represent at least 75 Indians 60 years of age or older. Applicants must document that they have or will have the ability to deliver social and nutrition services; and assure that the older Indians represented under the Title VI grant do not receive services under Title III for the duration of the grant.

**Beneficiary Eligibility:** Older Indians 60 years of age or older, and in the case of nutrition services, their spouses.

**Credentials/Documentation:** Applicable costs and administrative procedures will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, Appendix C of which implements the requirements of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Interested Indian tribal organizations are to submit pre-application documentation in accordance with instructions published by the Commissioner on Aging. Pre-applications must be submitted for each period for which the organization intends to submit an application. Program is subject to the requirements in OMB Circular No. A-102.

**Application Procedure:** In order to receive a grant, the eligible tribal organization must submit an application in accordance with instructions published by the Administration on Aging.

**Award Procedure:** A Notice of Grant Award is issued by the Office of Human Development Services.

**Deadlines:** Established when grant application instructions are issued.

**Range of Approval/Disapproval Time:** Usually within 30 to 60 days.

**Appeals:** As provided in 45 CFR Chapter XIII, Subchapter C, Part 1328.49.

**Renewals:** In FY 1981, based on satisfactory performance during the prior year, and availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Funds for grants are awarded for a 12 month period, with continuation of project support dependent upon satisfactory progress and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly program and financial reports are required of grantees.

**Audits:** Subject to audit by DHHS Audit Agency.

**Records:** Records must be maintained for three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $6,000,000; FY 82 est $5,735,000; and FY 83 est $5,252,000.

**Range and Average of Financial Assistance:** $65,000 to $100,000; $70,588.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, grants were awarded to 84 tribal organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1328; guidelines are issued by the Commissioner on Aging.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Directors, Office of Aging, Administration on Aging Office of Human Development Services, Department of

Health and Human Services Regional Ofices (see Appendix IV of the Catalog).

**Headquarters Office:** Fred Luhman, Chief, Division of State and Community Programs, Administration on Aging, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 472-3057.

**RELATED PROGRAMS:** 13.633, Special Programs for the Aging—Title III Parts A and B—Grants for Supportive Services and Senior Centers; 13.635, Special Programs for the Aging- Title III Part C- Nutrition Services; 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Program.

**EXAMPLES OF FUNDED PROJECTS:** (1) Social and Nutrition Services for Older Indian Persons - Washoe Tribe of Nevada and Californiaa; (2) Social and Nutrition Services to Older Indian Persons - San Carlos Apache Tribe; (3) Social and Nutrition Services to Older Indian Persons - Yakima Indian Nation; (4) Social and Nutrition Services to Older Indian Persons - Inter-tribal Council of Nevada; (5) Social and Nutrition Services to Older Indians - United Mountain Apache Tribe.

**CRITERIA FOR SELECTING PROPOSALS:** (1) The extent to which the project meets the "service delivery requirements" set forth in Section II 5b of the instructions. (2) The extent to which the project meets the planning and management requirements set forth in Section II 5a of the instruction. (3) The extent the project makes assessment of the kinds and levels of services needed and proposes appropriate services to deliver. (4) The reasonableness and specificity of project objectives as set forth in Section II 1 of the instructions. (5) The appropriateness and feasibility of strategy to accomplish proposed goals and objectives as set forth in Section II 3 of the instruction. (6) The appropriateness and justification of budget presentations.

## 13.658 FOSTER CARE—TITLE IV—E

**FEDERAL AGENCY:** ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES, OFFICE OF HUMAN DEVELOPMENT, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Adoption Assistance and Child Welfare Act of 1980, Section 101 and 102; 42 U.S.C. 470 et seq.; Section 470 et seq., Social Security Act (Title IV-E).

**OBJECTIVES:** To provide Federal financial participation (FFP) in assistance on behalf of eligible children needing care away from their families (in foster care) who are in the placement and care of the State agency administering the program and to provide FFP in the cost of proper and efficient administrative and training costs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** May be used for FFP in State or local payments on behalf of eligible children and proper and efficient adminstrative and training costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only States, the District of Columbia, Guam, The Northern Mariana Islands, Puerto Rico, and the Virgin Islands are eligible.

**Beneficiary Eligibility:** Eligible children are those who are (or would be): (1) eligible under AFDC; (2) found to need foster care; and (3) in the placement and care of the administering State agency or another public agency under agreement with the State agency.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The State plan must be submitted to the Regional Program Director for Children, Youth and Families for approval.

**Award Procedure:** Quarterly awards are made on the basis of estimated expenditures, which are later revised accordingly to include only actual allowable expenditures. Notification of awards is made to the designated State Central Information Reception Agency in accordance with Treasury Circular No. 1082.

**Deadlines:** States' estimates must be received quarterly by November 15, February 15, May 15 and August 15 by the Regional Program Director for Children, Youth and Families.

**Range of Approval/Disapproval Time:** State plan changes may require up to 90 days for approval.

**Appeals:** Appeals may be made to the Commissioner for Children, Youth and Families.

**Renewals:** State plans remain effective without renewal but may require amendment.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal share of payments is 50 to 83, depending on the State (Sec. 474(a)(1) and 1905(b) of the Social Security Act). Training and other administrative expenditures are matched at 75 and 50 percent Federal share, respectively (Sec. 474(c) of the Social Security Act.)

**Length and Time Phasing of Assistance:** Funds are paid quarterly through a letter of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Expenditure reports must be submitted 30 days after the end of each quarter (January 30, April 30, July 30, and October 30) to the Regional Program Director for Children, Youth and Families.

**Audits:** Not applicable.

**Records:** States must maintain records which substantiate eligibility determinations, allocated and direct costs and grants made.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $34,782,000 (Title IV-E or IV-A); FY 82 est $300,000,000 (Title IV-E or IV-A); and FY 83 est Unknown. (This program has been proposed for consolidation into the Child Welfare Block Grant effective FY 83.)

**Range and Average of Financial Assistance:** $20,000 to $161,318,000; $6,821,000.

**PROGRAM ACCOMPLISHMENTS:** Payments were made on behalf of an average of 15,000 children per month.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Regional Office listed in Appendix IV of the Catalog for the Office of the Regional Program Director for Children, Youth and Families.

**Headquarters Office:** Clarence E. Hodges, Commissioner for Children, Youth and Families, P.O. Box 1182, Washington, DC 20013. Telephone: (202) 755-7762.

**RELATED PROGRAMS:** 13.645, Child Welfare Services; 13.808, Assistance Payments - Maintenance Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.659 ADOPTION ASSISTANCE

**FEDERAL AGENCY:** ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES, OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Adoption Assistance and Child Welfare Act of 1980, Section 101, Public Law 96-272; 42 U.S.C. 670 et seq; Social Security Act, Title IV-E, Section 470 et seq.

**OBJECTIVES:** To provide Federal financial participation to States in the maintenance costs for children with special needs who are adopted.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Federal assistance may be used only in support of the adoption of children who meet the definition specified in the law. States may receive Federal financial participation only if a State plan has been approved by the Secretary as meeting the requirements of the law.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Marianas, the Virgin Islands and Guam are eligible to receive funds.

**Beneficiary Eligibility:** Eligible children are children who are: (1) AFDC, AFDC-FC or SSI-eligible; (2) have special needs e.g., a handicap, which makes it reasonable to conclude that they cannot be adopted without adoption assistance or are foster children for whom adoption assistance is needed for their adoption. FFP is available from the time of interlocutory or final adoption decree to age18 (21 if the State finds that a handicap means aid should continue) so long as the parent supports the child. No child adopted before the State is operating under its IV-E plan is eligible for FFP. No means test applies to adopting parents, but the amount of aid is agreed to by agency and parents and may be readjusted by joint agreement.

**Credentials/Documentation:** The State must submit and have approved by the Secretary of Health and Human Resources a state plan. Costs will be determined in accordance with 45 CFR Part 74 (HHS regulatory implementation of OMB Circular No. A-87).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Limited consultation to States available from both central and regional offices of HHS, ACYF. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A, of OMB Circular No. A-95 (revised).

**Application Procedure:** State plan submitted to Regional Office (RO) of ACYF.

**Award Procedure:** Quarterly States send estimate of expenditures to RO which recommends level to CO. ACYF funds are adjusted on the basis of actual expenditures States send to RO. Final decisions and awards are made by CO. Letter of credit is issued by DFAFS. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State must participate by October 1, 1982. Estimates are due 45 days before quarter; expenditures are due 30 days after the end of the quarter.

**Range of Approval/Disapproval Time:** HHS will approve/disapprove within 45 days after receipt of State plan.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** An amount equal to the Federal medical assistance percentage (as defined in section 1905(b) of the Social Security Act) of the total expended as adoption assistance, plus 75 percent of training and 50 percent of other administrative costs - all on a quarterly basis.

**Length and Time Phasing of Assistance:** Federal financial participation is available to a State operating under an approvable plan.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Expenditure Reports quarterly; other reports as required by the Secretary.

**Audits:** Independent audit arranged by the State at least once every three years (consistant with OMB Circular No. A-102).

**Records:** Records necessary for the proper and efficient operation of the State plan, including records of applications, determinations of eligibility and the provisions of financial assistance.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-999.

**Obligations:** (Grants) FY 81 $0; FY 82 est $5,000,000; and FY 83 est Unknown. (NOTE: FY 83 amount does not include $5,000,000 carry over from FY 1981. In FY 1983 these activities may be carried out under the proposed Child Welfare Block grant appropriation.)

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Maintenance payments for hard-to-place children who are adopted. In FY 1982 this program is expected to assist 1,000 to 2,000 children.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Notice of Proposed Rulemaking - 45 FR 86817, December 31, 1980; 45 CFR parts 1355, 1356.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the Regional Program Director, ACYF, OHDS, HHS in the appropriate regional office.

**Headquarters Office:** Frank Ferro, Associate Chief, Children's Bureau, P.O. Box 1182, Washington, DC 20013. Telephone: (202)755-7418.

**RELATED PROGRAMS:** 13.645, Child Welfare Services—State Grants; 13.652, Administration for Children, Youth and Families - Adoption Opportunities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Each State, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Marianas, the Virgin Islands and Guam may apply and be found eligible if statutory requirements are met.

## 13.661 NATIVE AMERICAN PROGRAMS—RESEARCH, DEMONSTRATION, AND EVALUATION

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEAALTH AND HUMAN SERVICES

**AUTHORIZATION:** 42 U.S.C. 2991 et seq.; Native American Programs Act of 1974, Public Law 93-644; as amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To promote the goal of social and economic self-sufficiency for American Indians, Native Hawaiians, and Alaskan Natives.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Grants may be used for such purposes as, but not limited to: projects to develop and test new methods of promoting social and economic progress and self-sufficiency for Native Americans; projects to obtain information about Native Americans to be used to improve program planning and development and delivery of social services; evaluations of ANA program performance and impact. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Cirular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Governing bodies of Indian tribes, Alaskan Native villages, and regional corporations, and other public or private nonprofit agencies.

**Beneficiary Eligibility:** American Indians, Alaskan Natives, and Native Hawaiians.

**Credentials/Documentation:** Nonprofit organizations which have not previously received OHDS program support must submit proof of nonprofit status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to review by State and areawide clearinghouses, pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Federally recognized tribes are exempt from submitting plans to the State Clearinghouses, but are encouraged by the Administration for Native Americans to do so. The provisions of OMB Circular No. A-102 apply to grantees which are local governments.

**Application Procedure:** Information regarding the availability of grant funds will be published from time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. Applicants, whether applying for new or continuation grants, are required to submit program plans to State Clearinghouses in accordance with Part I of OMB Circular No. A-95 (revised). Federally recognized Tribes are exempt from submitting plans to the State Clearinghouses, but are encouraged by the Administration for Native Americans to do so. The Administration for Native Americans will provide each applicant agency with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from OHDS programs. Applications for urban Indian programs should be submitted to the DHHS Regional Office (see Appendix IV of the Catalog for listing). All other applications should be submitted to OHDS Grants Management Branch, Department of Health and Human Services, Room 1740 North, 300 Independence Avenue, S.W., Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All funds are awarded directly to the grantees. Funds are awarded to urban Indian programs through DHHS Regional Offices. Funds to all other grantees are awarded by ANA Headquarters. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Continuation grants should be received 90 days prior to anticipated approval date.

**Deadlines:** Applications for new projects may be submitted at times specified in program announcements as published in the Federal Register.

**Range of Approval/Disapproval Time:** Formal funding request for continuation grants should be received 90 days prior to anticipated approval date.

**Appeals:** Appeals procedures are published in 45 CFR 1336.54.

**Renewals:** May be refunded.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula for distribution of funds. Twenty percent matching share required unless waived in accordance with criteria which are published in 45 CFR 1336.52. This program has maintenance of effort requirements; see funding agency for further detail.

**Length and Time Phasing of Assistance:** Grantees may apply for continuation support within the project period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Financial Status Reports, Report of Federal Cash Transactions, and Project Progress Reports are required.

**Audits:** All grantees must arrange for an annual financial audit, due 120 days after the end of the program year.

**Records:** Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3 year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $957,000; FY 82 est $700,000; and FY 83 est $600,000. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.)

**Range and Average of Financial Assistance:** $28,000 to $450,000; average $120,000.

**PROGRAM ACCOMPLISHMENTS:** Financial assistance is provided for Native American research and evaluation projects. Cooperative initiatives with other Federal agencies have been undertaken in the areas of employment, environmental protection, social services, and environmental and occupational health. Six competitive grant awards were issued in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations and guidelines are published in 45 CFR 1336, OHDS Grants Administration Manual.

**INFORMATION CONTACTS:**

**Regional or Local Office:** DHHS Regional Offices (See Appendix IV of the Catalog for listings).

**Headquarters Office:** Administration for Native Americans, Department of Health and Human Services, Room 5300, 330 Independence Avenue, SW., Washington, DC 20201, Contact: Ed Shealy, Director, Research, Demonstration, and Evaluation Division. Telephone: (202) 245-7727 . (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.612, Native American Programs—Financial Assistance Grants.

**EXAMPLES OF FUNDED PROJECTS:** 1) Review of Native American Research; 2) Tribal Employment Rights Planning Committee; 3) Identification of Gaps and Barriers in Services to Native Americans; 4) American Indian Census/Data Project; 5) Tribal Direct Entitlements and Service Delivery.

**CRITERIA FOR SELECTING PROPOSALS:** Specific criteria for selecting proposals for funding are stated in each program announcement (or request for proposal). In general, proposals are judged based on relevance to program objectives as stated in the program announcements, project viability, community support, reasonability of cost, and qualifications of applicant organization and personnel.

## 13.662 NATIVE AMERICAN PROGRAMS—TRAINING AND TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** 42 U.S.C. 2991 et seq.; Native American Programs Act of 1974, Public Law 93-644; as amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To promote the goal of economic and social self-sufficiency for American Indians, Native Hawaiians, and Alaskan Natives.

**TYPES OF ASSISTANCE:** Project Grants (Contracts)

**USES AND USE RESTRICTIONS:** Grants may be used for such purposes as, but not limited to: projects to provide assistance and training to Native American organizations to help them establish stable administrative and management systems and to identify long-range needs and resources; and projects to improve the capabilities of Native American tribal and community-based organizations to plan, develop, coordinate and implement programs aimed at social and economic progress. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Governing bodies of Indian tribes, Alaskan Native villages, and regional corporations, and other public or private nonprofit agencies.

**Beneficiary Eligibility:** American Indians, Alaskan Natives, and Native Hawaiians.

**Credentials/Documentation:** Nonprofit organizations which have not previously received OHDS program support must submit proof of nonprofit status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Federally recognized tribes are exempt from submitting plans to the State Clearinghouses, but are encouraged by the Administration for Native Americans to do so. The provisions of OMB Circular No. A-102 apply to grantees which are local governments.

**Application Procedure:** Information regarding the availability of grant funds will be published from time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. Applicants, whether applying for new or continuation grants, are required to submit program plans to State Clearinghouses in accordance with Part I of OMB Circular No. A-95 (Revised). Federally recognized Tribes are exempt from submitting plans to the State Clearinghouses, but are encouraged by the Administration for Native Americans to do so. The Administration for Native Americans will provide each applicant agency with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from OHDS programs. Applications for urban Indian programs should be submitted to the DHHS Regional Office (see appendix for listing). All other applications should be submitted to OHDS Grants Management Branch, Department of Health and Human Services, Room 1740 North, 300 Independence Avenue, S.W., Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All funds are awarded directly to the grantees. Funds are awarded to urban Indian programs through DHHS Regional Offices. Funds to all other grantees are awarded by ANA Headquarters. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications for new projects may be submitted at times specified in program announcements.

**Range of Approval/Disapproval Time:** Formal funding request for continuation grants should be received 90 days prior to anticipated approval date.

**Appeals:** Appeals procedures are published in 45 CFR 1336.54.

**Renewals:** May be refunded.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula for distribution of funds. Twenty percent matching share required unless waived in accordance with criteria which are published in 45 CFR 1336.52. This program has maintenance of effort requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:** Grantees may apply for continuation support within the project period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Financial Status Reports, Report of Federal Cash Transactions, and Project Progress Reports are required.

**Audits:** All grantees must arrange for an annual financial audit, due 120 days after the end of the program year.

**Records:** Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3 year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants) FY 81 $1,807,000; FY 82 est $1,000,000; and FY 83 est $700,000. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.)

**Range and Average of Financial Assistance:** $7,400 to $15,000; average $13,000.

**PROGRAM ACCOMPLISHMENTS:** Native American organizations have been assisted in preparing long-range social and economic development plans, business plans for tribal enterprises, financial investment plans for tribal funds. Training has been provided in improvement of policy determination and oversight management and in governmental procedures for Native American governing bodies. In fiscal year 1981, 40 applications were received and 17 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations and guidelines are published in 45 CFR 1336, and OHDS Grants Administration Manual.

**INFORMATION CONTACTS:**

**Regional or Local Office:** DHHS Regional Office (See Appendix IV of the Catalog for listing).

**Headquarters Office:** Administration for Native Americans, Department of Health and Human Services, Room 5300 North, 300 Independence Avenue, SW., Washington, DC 20201. Contact: David T. Raisen, Executive Assistant, Telephone: (202) 245-7714. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 11.302, Economic Development—Support for Planning Organizations; 13.612, Native American Programs-Financial Assistance Grants; 17.234, Employment and Training-Indians and Native Americans.

**EXAMPLES OF FUNDED PROJECTS:** 1) Update comprehensive community development plan; 2) Train tribal council in legislative and executive committee procedures.

**CRITERIA FOR SELECTING PROPOSALS:** Specific criteria for selecting proposals for funding are stated in each program announcement or request for proposal. In general, proposals are judged based on relevance to program objectives as stated in the program announcement, project viability, community support, reasonability of cost, and qualifications of applicant organization and personnel.

## 13.665 COMMUNITY SERVICES BLOCK GRANT

**FEDERAL AGENCY:** OFFICE OF COMMUNITY SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Omnibus Budget Reconciliation Act of 1981, Public Law 97-35; Title VI, Subtitle B, Section 671, "Community Services Block Grant Act"; 42 U.S.C. 9901; and Title VI, Chapter 8, Subchapter A, Section 611, "Community Economic Development Act of 1981"; 42 U.S.C. 9801.

**OBJECTIVES:** (1) To provide a range of services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) To provide activities designed to assist low-income participants including the elderly poor to secure and retain meaningful employment; attain an adequate education; make better use of available income; obtain and maintain adequate housing and a suitable living environment; obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; remove obstacles and solve problems which block the achievement of self-sufficiency; achieve greater participation in the affairs of the community; and make more effective use of other related programs; (3) To provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; (4) To coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals; and (5) To encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** (1) States receive block grants to ameliorate the causes of poverty in communities. The block grant approach gives the States flexiblity to tailor their programs to the particular services needs in their communities. (2) For fiscal year 1982, States must use at least 90 percent of their allocations for grants to "eligible entities" as defined in the Community Services Block Grant Act, including locally-based community action programs, or to organizations that serve seasonal or migrant farmworkers. For fiscal year 1983, States may also make grants to political subdivisions within the State. (3) No more than 5 percent of each State's allocation may be used for administrative expenses at the State level. (4) States may transfer up to 5 percent of their allocation for services under the Older Americans Act, the Head Start program or the low-income energy assistance program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The Secretary is authorized to make grants to States. This means each of the fifty States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Islands, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Trust Territory of the Pacific Islands. The Secretary will provide assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior under the procedure for such recognition in 25 CFR Part 54 are eligible to receive direct grants.

**Beneficiary Eligibility:** States make grants to locally-based nonprofit community antipoverty agencies which provide services to low-income individuals and families. Beginning in FY 1983, States may make grants to political subdivisions within the State to provide services directly. The official poverty line established by the Director of the Office of Management and Budget is used as a criterion of eligibility in the Community Services Block Grant program.

**Credentials/Documentation:** See Application Procedure.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None.

**Application Procedure:** Each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of HHS. Each application must contain assurances by the Chief Executive Officer of the State that the State will comply with Section 675b of the Community Services Block Grant Act and also meet conditions enumerated in Section 675c. The former provides that, after the first fiscal year in which a State received funds under the Act, no funds may be allotted to the State unless the legislature of the State conducts public hearings on the proposed use and distribution of funds to be provided under the Act. The latter sets forth the general purpose for which funds will be used, restrictions on administrative expenses, provisions for transfer of funds other programs, eligible recipients, board requirements for community action agencies and other nonprofit organization, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. The Chief Executive Officer of each State is also required to prepare and submit a plan to the Secretary of HHS describing how the State will carry out the assurances in Section 675c.

**Award Procedure:** HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the Community Services Block Grant Act. The Office of Management and Budget (OMB) has authority to apportion to the HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards, normally on a quarterly basis. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** States must apply for funds before the beginning of each fiscal year. Indian Tribes and organizations must apply for funds within 75 days after they become eligible for direct funding.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the Community Services Block Grant Act and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing conducted within the affected State.

**Renewals:** Not applicable.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35), Title VI, Subtitle B, Sec. 672, 674, 681 (Community Services Block Grant Act): of the amount appropriated each fiscal year for the Community Services Block grant Program, not more than 9 percent of such amount is available to the Secretary for discretionary activities. One-half of 1 percent of the amount appropriated is apportioned on the basis of need among Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands and the Trust Territory of the Pacific Islands. Of the remaining amount each State, (excluding the above, but including the District of Columbia and the Commonwealth of Puerto Rico) is alloted an amount which bears the same ratio as the amount received by the State for fiscal year 1981 under Section 221 of the Economic Opportunity Act of 1964 bore to the total amount received by all States for fiscal year 1981 under Section 221. However, no State receives less than one-quarter of one percent of the amount appropriated. This program has no matching requirements. (Discretionary activities include funding for training and ongoing activities of national or regional significance related to the purposes of the Community Services Block Grant Act, including special emphasis programs for community development, Rural Development Loan Fund revolving loans and guarantees, community development credit union programs, technical assistance and training programs in rural housing and community facilities development, assistance for migrants and seasonal farmworkers and national or regional programs designed to provide recreational activities for low-income youth.)

**Length and Time Phasing of Assistance:** Entitlement amounts are for a specific fiscal year and the grant funds allotted to the State will be awarded in accordance with apportionment of funds from the Office of Management and Budget. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** The State must prepare a report on the proposed use of block grant funds received, including (1) a statement of goals and objectives; (2) information on the types of activities to be supported, geographic areas to be served, and categories or characteristics of individuals to be served, and (3) the criteria and method established for the distribution of funds will be targeted on the basis of need to achieve the purposes of the block grant funds. Beginning in fiscal year 1983, the report must include a description of how the State met the goals, objectives and needs in the use of funds for the previous fiscal year. At State option, this report may be combined into a single document with the application for funds and the plan for meeting statutory assurances.

**Audits:** The State must conduct financial and compliance audits of block grant funds for the two-year period beginning October 1, 1981, and for each two-year period thereafter. Insofar as is practicable, the audits will be conducted in accordance with standards established by the Comptroller General for the audits of Governmental organization, programs, activities and functions.

**Records:** States are required to keep records sufficient to permit preparation of the required reports and to permit tracing of funds to a level of expenditure adequate to insure that funds have not been spent unlawfully.

### FINANCIAL INFORMATION:

**Account Identification:** 75-1635-0-1-506.

**Obligations:** (Grants) FY 81 $0; FY 82 est $336,478,000; and FY 83 est $100,000,000. (Discretionary) FY 81 $0; FY 82 est $5,000,000; and FY 83 $0.

**Range and Average of Financial Assistance:** $122,360 to $31,542,000; $5,975,000

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1982, the Community Services Block Grant Act gave States the option to delay assumption of block grant responsibilities by allowing the Department to make direct grants to local community action and other eligible grantees. For the first quarter of FY 1982, fourteen States chose this option. Three of these States assumed responsibility for the block grant program on January 1, 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Block Grant Programs", Federal Register, Part XI, October 1, 1981 (45 CFR Part 96).

### INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Sandra Lichty, Ph.D., Director, Office of State and Project Assistance, Office of Community Services, 1200 M Street, N.W., Room 558E, Washington, DC 20506. Telephone: (202) 254-5590.

**RELATED PROGRAMS:** 13.600, Administration for Children, Youth and Families - Head Start; 13.635, Special Programs for the Aging - Title III, Part C—Nutrition Services; 13.668, Special Programs for the Aging - Training, Research and Discretionary Projects and Programs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.667 SOCIAL SERVICES BLOCK GRANT

## (Social Services)

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, Title XX, as amended by the Omnibus Budget Reconciliation Act, Public Law 97-35.

**OBJECTIVES:** To enable each State as far as practicable to furnish a variety of social services best suited to the needs of the individuals residing in the State in the most efficient and effective method possible by using Federal block grant funds to provide services directed toward one of the five goals specified in the law.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Federal funds may be used for the proper and efficient operation of social service programs to enable eligible individuals to (1) prevent, reduce or eliminate dependency; (2) achieve or maintain self-sufficiency; (3) prevent neglect, abuse, or exploitation of children and adults; (4) prevent or reduce inappropriate institutional care; (5) secure admission or referral for insitutional care when other forms of care are not appropriate. Federal funds cannot be used for the following without a waiver from the Secretary: (1) for the purchase or improvement of land, or the purchase, construction, or permanent improvement of any building or other facility; (2) for the provision of cash payments for costs of subsistence or the provision of room and board (other than costs of subsistence during rehabilitation, room and board provided for a short term as an integral but subordinate part of a social service, or temporary shelter provided as a protective service); (3) for the payment of wages of any individual as a social service (other than payment of wages of welfare recipients employed in the provision of child day care services); or (4) for the provision of medical care (other than family planning services, or initial detoxification of an alcoholic or drug dependent individual) unless it is an integral but subordinate part of a social service for which grants may be used. Funds may not be used for: (1) social services (except services to an alcoholic or drug dependent individual or rehabilitation services) provided in and by employees of any hospital, skilled nursing facility, intermediate care facility, or prison, to any individual living in such institution; (2) for the provision of any educational service which the State makes generally available to its residents without cost and without regard to their income; (3) for any child day care services unless such services meet applicable standards of State and local law; or (4) for the provision of cash payments as a service. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provision of OMB Circular No. A-111. A State may transfer up to 10 percent of its allotment for any fiscal year for its use for that year under other provisions of Federal law providing block grants for support of health services, health promotion and disease prevention activities, or low-income home energy assistance, or any combination of those activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The 50 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and the Northern Mariana Island.

**Beneficiary Eligibility:** Under Title XX each State, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and the Northern Mariana Island determines the services that will be provided and the individuals that will be eligible to receive services.

**Credentials/Documentation:** Prior to the expenditure by a State of payments made to it the State shall report on the intended use of the payments the State is to receive, including information on the types of activities to be supported and the categories or characteristics of individuals to be served.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** States are awarded funds quarterly based upon their allotment ceiling. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Section 2003 of Title XX of the Social Security Act, as amended by Public Law 97-35 specifies how the allotments for each State and jurisdiction will be determined. Each State is entitled to payments in an amount equal to its allotment for that fiscal year. There is no matching requirement. Allotments for Title XX are subject to a limitation of $2,400,000,000 for fiscal year 1982. The allotment for the jurisdictions of Puerto Rico, Guam, the Virgin Islands and the Northern Mariana shall be an amount which bears the same ratio to the amount authorized for Title XX as the fiscal year 1981 allocation bore to $2,900,000,000. Each State's and the District of Columbia's allotment are proportional to its portion of the national population of the amount authorized for Title XX minus the amount authorized to the jurisdictions. The statistical factor used for fund allocation is the State population, total U.S. population (ratio of population of State to total plus the District of Columbia) and the source is from "Current Population Reports", P-25, Bureau of the Census.

**Length and Time Phasing of Assistance:** Grants are awarded quarterly on a fiscal year basis. Monthly Letters-of-Credit are issued based on quarterly grant awards for cash draws from Federal Reserve Banks.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Treasury Report 5401 is required monthly.

**Audits:** Each State shall prepare reports on its activities not less often than every two years. The report shall be in such form and contain such information as the State finds necessary to provide an accurate description of such activities, to secure a complete record of the purposes for which funds were spent in a manner consistent with the pre-expenditure reports required under section 2004 of the Act. State audits are conducted by an entity independent of the agency administering activities funded under Title XX. The State must provide a copy of the audit to the Secretary of HHS and to the legislature of the State within 30 days following completion of the audit.

**Records:** States are required to maintain records documenting the purposes for which expenditures were made.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1634-0-1-506.

**Obligations:** (Grants) FY 81 $0; FY 82 est $2,400,000,000; and FY 83 est $1,974,126,000.

**Range and Average of Financial Assistance:** $82,759 to $249,402,791; $43,636,363.

**PROGRAM ACCOMPLISHMENTS:** Awards will be made to the 50 States, the District of Columbia and the 5 jurisdictions.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Parts 16, 74, and 96.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Office of Human Development Services, Regional Administrator, HHS Regional Offices.

**Headquarters Office:** Michio Suzuki, Deputy Director, Office of Program Coordination and Review, Office of Human Development Services, 200 Independence Avenue, S.W., Washington, DC 20201. Telephone: (202) 245-7027.

**RELATED PROGRAMS:** 13.645, Child Welfare Services - State Grants; 13.646, Work Incentive Program; 13.647, Social Services Research and Demonstration; 13.658, Foster Care - Title IV-E; 13.808, Assistance Payments - Maintenance Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Projects are funded by the State and vary in nature among the States. Examples are day care services for children and adults, home maker and housekeeping services, counselling services, family planning and the preparation and delivery of meals.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria for selecting proposals are determined by the State, and vary among the States.

## 13.668 SPECIAL PROGRAMS FOR THE AGING—TITLE IV—TRAINING, RESEARCH AND DISCRETIONARY PROJECTS AND PROGRAMS

**FEDERAL AGENCY:** OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Older Americans Act of 1965, Title IV, Public Law 89-73, as amended by Public Laws 90-42, 91-69, 92-258, 93-29, 93-351, 94-135, 95-65, 95-478, and 97-115; 42 U.S.C. 3031-3036.

**OBJECTIVES:** To provide adequately trained personnel in the field of aging, improve knowledge of the problems and needs of the elderly, and to demonstrate better ways of improving the quality of life for the elderly.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Funds may be used (a) to train persons to work in the field of aging, and to increase the availability and accessibility of training and education programs in the field of aging; and (b) to assist the need for, develop strategies and priorities about, and conduct activities for the development of adequate knowledge for improving the circumstances of older people. Some of these activities may be conducted by multidisciplinary centers of gerontology.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to any public or nonprofit private agency or organization or institution. Contracts may be awarded to any agency, organization or institution. Grants are not available to individuals, even though they may be affiliated with a public or nonprofit organization.

**Beneficiary Eligibility:** All Americans 60 years of age and older.

**Credentials/Documentation:** Applicants should present written evidence of willingness to cooperate on the part of other agencies when the project involves their cooperation or the utilization of their facilities or services. Applicable costs will be determined in accordance with Part 74 of Title 45 of the Code of Federal Regulations, Appendix C, which implements the requirements of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part 1, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal Agency and required by OMB Circular No. A-102 must be used for the program. Applicants submit application for funding to the State Agency on Aging for comment.

**Application Procedure:** Contract information is published in the "Commerce Business Daily." Applications for Federal Assistance (Nonconstruction Programs) are in accordance with instructions, and guidelines developed by the Administration on Aging (AoA) each year. Application forms may be obtained by writing to the Administration on Aging. This program is subject to the Provisions of OMB Circular No. A-110.

**Award Procedure:** Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As specified in guidelines.

**Range of Approval/Disapproval Time:** From 60 to 120 days from receipt of application.

**Appeals:** Grantee appeals may be made to the Departmental Grant Appeals Board pursuant to 45-CFR-16.

**Renewals:** Grant extension applications must compete with new applications for review and possible approval.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Matching requirements may be required of any grantee to the extent deemed appropriate by the Commissioner on Aging. Requirements may vary from five to forty percent of the total costs.

**Length and Time Phasing of Assistance:** Generally, projects are approved for a period of 12 months. However, when more time is obviously needed to realize its objectives, a project may be approved for support for a period up to 3 years. Support beyond the first year is contingent upon the availability of funds and acceptable evidence of satisfactory progress.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semi-annual progress reports, yearly reports as part of the continuation applications, and final reports are required of grantees. Reports to be submitted by the contractors are specified in the contracts.

**Audits:** All project expenditures are subject to audit by the HHS audit agency.

**Records:** Records must be maintained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1636-0-1-500.

**Obligations:** (Grants (Contracts)) FY 81 $39,249,000; FY 82 est $22,175,000; and FY 83 est $20,307,000.

**Range and Average of Financial Assistance:** $15,000 to $350,000; $88,700.

**PROGRAM ACCOMPLISHMENTS:** In FY 1981, awards were made to States for in-service training of State and local personnel. Institution of higher education were funded to train persons to work in the field of aging. Gerontology centers were funded to examine issues related to long-term care. Awards were also made to national aging organizations to increase access of members of minority groups to available programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** See Chapter XIII, Title 45 of the Code of Federal Regulations on AoA supported projects. Annual AoA Guidelines, program information, and application instructions are available from the Administration on Aging, Washington, DC 20201.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Director, Administration on Aging, Office of Human Development Services, Department of Health and Human Services, located at all HHS Federal Regional Offices (See Appendix IV of the Catalog for Address).

**Headquarters Office:** Mr. David Rust, Deputy Commissioner on Aging, Administration on Aging DHHS, Washington, DC 20201. Telephone: (202) 245-0724.

**RELATED PROGRAMS:** 13.633, Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers; 13.635, Special Programs for the Aging—Title III, Part C— Nutrition Services; 13.655, Special Programs for the Aging—Title VI — Grants to Indian Tribes.

**EXAMPLES OF FUNDED PROJECTS:** (1) "Changing Service Needs of Older Tenants"; (2) "Elderly Abuse Project"; (3) "Minority Recruitment Program"; (4) LTC Gerontology Center, Harvard"; and (5) "Rural Aging Services Project".

**CRITERIA FOR SELECTING PROPOSALS:** Detailed criteria are published annually in the Federal Register and in the AoA Guidelines. Major emphases are: (1) program and policy relevance; (2) conceptual framework; (3) methodology; (4) project implementation plan; (5) staffing and management; and (6) budget appropriateness and reasonableness.

## 13.675 CIVIL RIGHTS COMPLIANCE ACTIVITIES

**FEDERAL AGENCY:** OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title VI of the Civil Rights Act of 1964; Title VII and Title VIII of the Comprehensive Health Manpower Act and Nurse Training Act 1971; Section 407 of the Drug Abuse Office and Treatment Act of 1972 and Section 321 of the Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitaton Act of 1970; Section 504 Rehabilitaton Act of 1973; Title IX of the Education Amendments of 1972; Title VI and Title XVI of the Public Health Act, as amended; the Age Discriminaton Act of 1975.

**OBJECTIVES:** To enforce in federally assisted programs: Title VI of the Civil Rights Act of 1964, which prohibits discrimination because of race, color, national origin; Title IX of the Education Amendments of 1972 which prohibits sex discrimination; the sex equity provisions Title VII and Title VIII of the Comprehensive Health Manpower Act and Nurse Training Act of 1971; Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination against handicapped persons; the Age Discrimination Act of 1975, which prohibits discrimination on the basis of age; Title VII and Title XVI of the Public Health Service Act which covers community service obligations of recipients of Hill-Burton grants or loans; and the nondiscrimination requirements of the Department's block grant programs.

**TYPES OF ASSISTANCE:** Investigation of Complaints; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Department of Health and Human Services is responsible for ensuring that HHS beneficiaries of federally assisted programs receive benefits without discrimination. These benefits are provided through State agencies, nursing homes, skilled nursing facilities, medical laboratories, hospitals, day care centers, and social service agencies. Any person who believes that he or she has been discriminated against in the provision of services because of race, color, national origin, handicap, or age, may file a complaint of grievance with the Office for Civil Rights, Department of Health and Human Services. Individuals may also file complaints of sex discrimination in health training programs receiving Federal financial assistance and complaints of violations of community service obligations by Hill-Burton recipients. The Office will investigate complaints and take corrective steps to ensure equal opportunity.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone who believes he or she has been discriminated against in the manner outlined above.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Director, Office for Civil Rights.

**Application Procedure:** Complaint filed with the Office for Civil Rights in Washington, DC or any regional office.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0135-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $19,332,000; FY 82 est $19,319,000; and FY 83 est $21,513,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The purpose of the Office for Civil Rights (OCR) is to ensure that individuals are not discriminated against by recipients of the Department's programs of Federal financial assistance. To accomplish this objective, OCR personnel investigate individual complaints of discrimination filed against recipients, conduct self-initiated compliance reviews, monitor remedial action plans, and provide technical assistance to both recipients and the beneficiaries of federally assisted programs. In fiscal year 1981, 1704 individual complaints of discrimination were filed with OCR. OCR completed action on 1504 complaint cases, including cases carried over from the preceding year, leaving a year (8) inventory of 600 pending complaints. OCR expects to receive approximately 2,000 complaints in FY 82 and 2,375 complaints in FY 83. Compliance reviews address a variety of possible discriminatory practices under all of the statutory authorities. They are not necessarily related to individual complaints. In FY 81, OCR completed, 171 compliance reviews. It is estimated that 190 compliance reviews will be conducted, with 71 completed in FY 82. To encourage voluntary compliance by recipients, OCR offers technical assistance. This includes developing and disseminating compliance information, conducting workshops for recipients, designing model compliance plans for various types of covered programs, and training State and local officials who are responsible for achieving compliance. These activities are intended to provide recipients with the skills needed to apply the statute to particular circumstances. As a result, the technical assistance program promises significant long-term benefits by helping to prevent and eliminate discriminatory practices.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title VI of the Civil Rights Act of 1964, and the implementing regulation; Section 504 of the Rehabilitation Act of 1973, and the implementing regulation; Section 804 Fact Sheet; Age Discrimination Act of 1975, and the implementing regulation; Age Discrimination Act Fact Sheet; Sex Discrimination in Health-Related Training Programs regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act, "Your Rights As a Disabled Person" describes the rights of handicapped persons under Section 504 of the Rehabilitation Act of 1973. All literature is available at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Civil Rights Directors, HHS Regional Offices (see Appendix IV for listing).

**Headquarters Office:** Director, Office of Public Affairs, Office for Civil Rights Headquarters, 5411 HHS-N, 330 Independence Ave., SW, Washington DC 20201. Telephone:(202) 245-9469. Director, Office for Civil Rights, Office of the Secretary, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 245-6403. Contact: Director, Office for Civil Rights.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.676 SURPLUS PROPERTY UTILIZATION

### (Federal Property Assistance Program)

**FEDERAL AGENCY:** OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Federal Property and Administrative Services Act of 1949, Section 203 (k); Public Law 81-152; 40 U.S.C. 484; as added by the Department of Education Organization Act, Public Law 96-88.

**OBJECTIVES:** To convey or lease all available surplus Federal real properties which are needed and usable by eligible organizations and institutions to carry out health programs.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Real property must be used for eligible health purposes including research. It may consist of land with or without buildings and other improvements or buildings only. Conveyances are made by deed without warranty. A discount of up to 100 percent based on the proposed-use program is granted. This discount is earned by approved use over a prescribed period of 30 years for land, which is deeded, and a lesser time for leased facilities and improvements which are sold without land. Property must be used for the purpose for which conveyed, and may not be sold, leased or mortgaged or encumbered without consent of the Department.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, their political subdivisions and instrumentalities; tax-supported public health institutions or those held exempt from taxation under section 501(c) (3) of the 1954 Internal Revenue Code.

**Beneficiary Eligibility:** Anyone attending, working with or for, or served by the eligible applicants, such as hospitals, public health clinics, water and sewer system, rehabilitation of mentally or physically handicapped health research, and other basic health programs.

**Credentials/Documentation:** Applicants must demonstrate current need for properties they request and the ability to carry out the proposed program.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Notice of availability of surplus real property is sent by appropriate HHS regional office to all known potentially interested health institutions, and State and local officials. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). When applying for real property, an informal preapplication conference is recommended. At this time, consultation and assistance is available to aid in the preparation of an application. The transfer of Federal surplus real property requires an environmental assessment.

**Application Procedure:** Applicants interested in acquiring Federal real properties must contact their respective HHS regional office.

**Award Procedure:** Real property is awarded to the applicant whose programs of use are determined to be in the highest public interest. Land is conveyed by quitclaim deed, buildings for off-site removal by agreement of sale.

**Deadlines:** Any organization interested in acquiring real property must notify HHS Regional Office within 15 days after date of notice of availability.

**Range of Approval/Disapproval Time:** Normally, within 30 days after an application has been submitted for real property.

**Appeals:** An applicant may appeal a decision to the headquarters office.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Deed restrictions run for a period of 30 years, after which the transferee has clear title to the property. Agreements of sale are normally for 5 years. Restrictions on leased property run for the period of the lease.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Transferees are required to make an annual utilization report to their respective HHS Regional Office and the property is also visited by regional personnel.

**Audits:** The Department's Audit agency makes periodic audits of the operation of regional offices, at which time they make spot checks of utilization by real property transferees.

**Records:** Transferees of real property, who expend funds to rebuild, refurbish, or to otherwise improve property under restrictions, should maintain records of these costs in the event they wish to dispose of the property prior to termination of the restriction period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0120-0-1-999.

**Obligations:** (salaries and expenses) FY 81 $383,000; FY 82 est $403,000; and FY 83 est $424,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, Federal surplus property having an acquisition cost of $1,350,095 was transferred for public health purposes. This represents 6 deeds conveying 240.49 acres of land and 25 buildings, and 2 agreements of sale conveying 3 buildings for removal to the grantees' own site. It is estimated that $3,000,000 in real property will be transferred in fiscal year 1982, and $4,000,000 in fiscal year 1983 for health purposes.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations: Title 45, Subtitle A, Part 12-Disposal and Utilization of Surplus Real Property for Public Health Purposes. Literature: The following pamphlet is available at any of the HHS regional offices and headquarters offices: "How to Acquire Federal Surplus Real Property for Public Health Purposes," no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Chief, Real Estate Planning and Management Branch, Regional Office of Facilities/Engineering located in each of the 10 regional offices of the Department of Health and Human Services.

**Headquarters Office:** Chief, Division of Realty, Office of Real Property, Office of Facilities Engineering, Office of the Secretary, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 245-1926. Contact: Glynn D. Corry.

**RELATED PROGRAMS:** 12.600, Community Economic Adjustment; 12.700, Donations/Loans of Obsolete DOD Property; 14.211, Surplus Land for Low and Moderate Income Housing; 15.900, Disposal of Surplus Wildlife; 39.002, Donation of Federal Surplus Real Property; 39.003, Disposal of Federal Surplus Personal Property; 84.145, Federal Real Property Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Land and buildings for hospitals, clinics, public health administration, water and sewer systems, and rehabilitation programs.

**CRITERIA FOR SELECTING PROPOSALS:** All applications must establish eligibility of the institution, its programs, and the proposed use to meet the program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; (5) nondiscrimination because of race, color, sex, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, unmet needs, integrated research, outpatient services, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accomodated.

## 13.678 CONSUMER AFFAIRS

**FEDERAL AGENCY:** U.S. OFFICE OF CONSUMER AFFAIRS, OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Executive Order 11583 of February 24, 1971, as amended by Executive order 11702 of January 25, 1973; Executive Order 12160 of September 26, 1979.

**OBJECTIVES:** The staff of the United States Office of Consumer Affairs presents consumer needs and viewpoints in the Federal government, fosters consideration of consumer interests by other government agencies, voluntary groups and business, and seeks to inform and educate individual citizens to deal more effectively in the marketplace and to learn of opportunities to participate in government decisionmaking. The Director of USOCA traditionally serves as a Special Assistant to the President.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information may be obtained on consumer education, proposed legislation affecting consumers, Federal consumer programs, and private organizations for the advancement of the interests of consumers. Advisory services are available to State and local governments on the administration of consumer programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individual consumers, business and civic groups, labor unions, trade associations, and State and local governments may request the services of the U.S. Office of Consumer Affairs.

**Beneficiary Eligibility:** Same as Applicant Eligibility:

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter to Headquarters Office listed below for information.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0137-0-1-506.

**Obligations:** (Salaries and expenses) FY 81 $1,995,000; FY 82 est $1,760,000; and FY 83 est $1,987,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, OCA commented on proposed changes in Federal regulations; prepared testimony on significant legislative proposals affecting consumers; encouraged voluntary action by business on behalf of consumers; cosponsored conferences to promote consumer education; coordinated national consumer education initiatives by consumer groups, educators, government agencies, and business; published various materials to assist consumers, and provided technical assistance to State and local government consumer protection offices and voluntary consumer organizations. In fiscal year 1982 the OCA staff will place priority on programs with issues relating to the elderly, the disabled and health care; will monitor and evaluate consumer programs of Federal agencies, and will serve as a catalyst to improve complaint handling by Federal agencies and by state and local governments, business and voluntary groups. OCA will continue to improve liaison with consumer groups and state and local governments. Consumer education technical assistance and coordination will also to be a high priority.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The "Consumer's Resource Handbook" a what-to-do, where-to-go manual for finding both government and non-government sources of information and help with resolving consumer problems, is available free from the Consumer Information Center, Department 619-J, Pueblo CO 81009.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, U.S. Office of Consumer Affairs, Premier Bldg., 1725 Eye St., N.W. Washington, DC. Mailing address: 1009 Premier Bldg., Washington, DC 20201. Telephone: (202) 634-4310.

**RELATED PROGRAMS:** 10.154, Market Supervision and Assistance; 17.306, Consumer Credit Protection; 36.001, Fair Competition Counseling and Investigation of Complaints; 39.009, Consumer Information Center; 58.001, Securities-Investigation of Complaints and SEC Information.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.679 CHILD SUPPORT ENFORCEMENT

## (Title IV-D)

**FEDERAL AGENCY:** OFFICE OF CHILD SUPPORT ENFORCEMENT, OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title IV-D of The Social Security Act, Public Laws 93-647, 94-46, 94-88, 94-365, 95-30, 95-59, 95-171, 95-598, 96-178, 96-265, 96-272, 96-611, and 97-35; 15 U.S.C. 1673; 26 U.S.C 6305; 29 U.S.C. 49b; 42 U.S.C. 503; 42 U.S.C. 651-663.

**OBJECTIVES:** To enforce the support obligations owed by absent parents to their children, locate absent parents, establish paternity, and obtain child and spousal support.

**TYPES OF ASSISTANCE:** Formula Grants; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** States provide child support enforcement services directly to individuals who are receiving AFDC or to individuals not eligible for AFDC who have applied for such services. AFDC applicants or recipients must have assigned support rights to the State. Non-AFDC individuals must have signed a written application for the service. The State must provide services to locate absent parents, establish paternity and enforce support obligations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All states, the District of Columbia, Puerto Rico, Virgin Islands, and Guam. Each of these jurisdictions is required to establish or designates a single and separate State Child Support Enforcement Agency.

**Beneficiary Eligibility:** The State must provide the service to all applicants for or recipients of Aid to Families with Dependent Children for whom an assignment to the State of Child Support Rights has been made and who are in need of paternity determination or child support enforcement services; and, any other individual who is in need of such services and who has applied to the State Child Support Enforcement Agency.

**Credentials/Documentation:** The State IV-D agencies must be operating in accordance with an approved Title IV-D State plan. Governors or their designated plan review agencies must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Allowable costs will be determined in accordance with OMB Circular No. A-87 as implemented by 45 CFR Part 74 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State Governors review State plans and amendments. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Regional Office staff is available for consultation or assistance in preparation of State plans and amendments.

**Application Procedure:** Applications are made in the form of a State plan, prepared in the format provided by the Office of Child Support Enforcement.

**Award Procedure:** States are awarded funds quarterly based on their estimates of funds needed to provide child support enforcement services to individuals eligible under an approved State Title IV-D Plan. Notification of awards must be made to the designated State Central Information Reception Agency and the Department of the Treasury in accordance with Treasury Circular 1082.

**Deadlines:** State estimates must be submitted 45 days prior to the period of the estimate.

**Range of Approval/Disapproval Time:** State plans and amendments submitted as new State plans may require up to 90 days for approval.

**Appeals:** Within 60 days the State may request reconsideration of plan disapproval or plan amendment disapproval.

**Renewals:** Once approved, State IV-D plans remain in effect until amended or revised.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Seventy-five (75) percent Federal financial participation in the administrative costs incurred by the State pursuant to an approved Title IV-D plan. This includes costs incurred by certain court and law enforcement officials pursuant to cooperative agreements with the IV-D agency. Ninety (90) percent Federal financial participation in certain developmental costs of child support ADP Systems upon prior approval by OCSE.

**Length and Time Phasing of Assistance:** Federal funds are awarded quarterly on a fiscal year basis. Letters of Credit are issued based on quarterly awards for cash draw from Federal Reserve Banks.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** Quarterly financial reporting of expenditures and collections under the program. Program reports as required by OCSE.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to insure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. OCSE conducts an annual audit of program effectiveness (See 45 CFR Part 305).

**Records:** The IV-D agency must maintain records necessary for the proper and efficient administration of the State IV-D plan.

### FINANCIAL INFORMATION:

**Account Identification:** 75-0412-0-1-604.

**Obligations:** (Grants) FY 81 $420,577,890; FY 82 est $455,000,000; and FY 83 est $387,000,000.

**Range and Average of Financial Assistance:** $109,362 to $78,856,414; $7,788,500.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, $688,000,000 was collected on behalf of recipients of AFDC and $975,400,000 on behalf of non-AFDC recipients. During fiscal year 1981, 704,995 parents were located, paternity was established in 163,554 cases, and collections were made for 547,698 AFDC cases.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Chapter III, 45 CFR Part 16, 45 CFR Part 74, 45 CFR Part 95, 45 CFR Part 213, 45 CFR Part 232, 45 CFR 201.15.

### INFORMATION CONTACTS:

**Regional or Local Office:** Regional Representative, OCSE in the Regional Offices of the Department of Health and Human Services, (see Appendix IV for addresses and telephone numbers).

**Headquarters Office:** Fred Schutzman, Deputy Director, Office of Child Support Enforcement, Department of Health and Human Services, 6110 Executive Blvd., Rockville, MD. 20852. Telephone: (301) 443-4442.

**RELATED PROGRAMS:** 13.808, Assistance Payments—Maintenance Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.714 MEDICAL ASSISTANCE PROGRAM
## (Medicaid; Title XIX)

**FEDERAL AGENCY:** HEALTH CARE FINANCING ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title XIX, Social Security Act, as amended; Public Laws 89-97; 90-248; and 91-56; 42 U.S.C. 1396, et seq.; Public Laws 92-223; 92-603; 93-66; and 93-233.

**OBJECTIVES:** To provide financial assistance to States for payments of Medical Assistance on behalf of cash assistance recipients and, in certain States, on behalf of other medically needy, who, except for income and resources, would be eligible for cash assistance.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** States must provide for the categorically needy, in- and out-patient hospital services; other laboratory and x-ray services; skilled nursing home services, home health services for persons over 21; family planning services; physicians' services; and early and periodic screening, diagnosis and treatment for individuals under 21. For the medically needy, States are required to provide any seven of these services for which Federal financial participation is available.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local welfare agencies must operate under an HHS approved (Medicaid) State Plan and comply with all Federal regulations governing aid and medical assistance to the needy.

**Beneficiary Eligibility:** Needy persons who are over 65, blind, disabled, members of families with dependent children, and, in some States, persons under age 21 may apply to a State or local welfare agency for medical assistance. Eligibility is determined by the State in accordance with Federal regulations.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Federal funds must go to a certified State welfare agency. Individuals must meet State requirements. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** States should contact the HHS Regional Office for assistance with developing State Plans for the Medicaid program (see Appendix IV, Agency Regional Office Addresses). State Governors review State Plans, amendments, quarterly estimates, and any other federally required reports prior to submission to the Department of Health and Human Services, HCFA.

**Application Procedure:** Individuals needing medical assistance should apply directly to the State or local welfare agency. States should contact the Regional Administrator, HCFA (see Appendix IV in the Catalog for location) for application forms (State Plans).

**Award Procedure:** Regional Administrators have authority to approve State Plans. Once a State Plan is approved, states are awarded funds quarterly based on their estimates of funds needed to provide medical assistance to the needy. Awards are made quarterly on a fiscal year basis as follows: September 1, December 1, March 1 and June 1. Notification of awards are made to the State Central Information Reception Agency in accordance with Treasury Circular 1082. Individuals receive medical care as specified under the State Plan from providers of medical care who are participating in the Medicaid program.

**Deadlines:** An individual needing medical assistance may apply to the State at any time. States must submit quarterly estimates of funds needed no later than August 15, November 15, February 15, and May 15, in order to receive a quarterly grant award.

**Range of Approval/Disapproval Time:** The states usually provide needy individuals with immediate medical assistance. State Plans may require up to 90 days for approval.

**Appeals:** Individuals denied medical assistance by the State or local welfare agency must be given a fair hearing on appeal (CFR 45, Chapter 2, Part 205.10, Part 3034, February 13, 1971). States have 60 days to resubmit revised State Plans.

**Renewals:** Recipients receive assistance as long as they are qualified under State requirements. Once a State Plan is approved, it remains in effect until revised or amended.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal funds are available to match State expenditures for medical care provided under the State Plan; the Federal share ranges from 50 percent to 78 percent. The statistical factors used for fund allocation are: 1) medical assistance expenditures by State and the source is from the "State Tables-Medicaid Recipients, Payments and Services", Social Security Bulletin, and 2) per capita income by State (3 year average) and the source is from "Personal Income" produced by the Bureau of Economic Analysis. Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The needy receive medical assistance as necessary. States receive funds quarterly. Monthly Letters of Credit are issued to states for cash draws on the Federal Reserve Bank.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States must operate under an approved HHS State Plan and submit fiscal and statistical reports as required by the Plan, to the Department of Health and Human Services, HCFA. A Treasury Report TUS-5401 is required monthly.

**Audits:** Subject to audit by HHS Audit Agency.

**Records:** States must maintain records which substantiate direct and indirect costs charged to the grant award activity.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0512-0-1-551.

**Obligations:** (Grants) FY 81 $17,439,623,000; FY 82 est $17,415,488,000; and FY 83 est $12,925,162,000.

**Range and Average of Financial Assistance:** $48,081,000 to $3,560,578,000; $327,041,577.

**PROGRAM ACCOMPLISHMENTS:** The number of recipients receiving medical assistance in fiscal year 1982 is estimated to be 22,857,000. It is estimated that 22,142,000 will receive assistance in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 202.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Medicaid Director, Medicaid Bureau, Health Care Financing Administration (see Appendix IV for address and telephone numbers).

**Headquarters Office:** Tera Younger, Acting Director, Bureau of Program Operations, Health Care Financing Administration, Department of Health and Human Services, Rm. 300, Meadows East Bldg., 6300 Security Blvd., Baltimore, MD 21207. Telephone: (301) 594-9000.

**RELATED PROGRAMS:** 13.224 Community Health Centers; 13.246, Migrant Health Centers; 13.773, Medicare-Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance; 13.776, Professional Standards Review Organizations; 13.777, State Health Care Providers Survey Certification; 13.807, Supplemental Security Income; 13.808, Assistance Payments-Maintenance Assistance; 23.013, Appalachian Child Development; 64.010, Veterans Nursing Home Care; 64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.766 HEALTH FINANCING RESEARCH, DEMONSTRATIONS AND EXPERIMENTS
### (HCFA Research)

**FEDERAL AGENCY:** HEALTH CARE FINANCING ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, Title XI: Sections 1110 and 1115 (42 U.S.C. 1310 and 1315ll); Title XVIII, Section 1875 (42 U.S.C. 1395) and 1881 (f); Section 402 of Public Law 90-248 as amended by Section 222(b) of Public Law 92-603 and Section 17(d) of Public Law 95-142; Section 222(a) of Public Law 92-603; Section 1526(a) of the Public Health Service Act (42 U.S.C. 300m-5(a)), Section 1533(a) of the Public Health Service Act (42 U.S.C. 300n-2(a)) as it relates to section 1533(d)) of the Public Health Service Act (42 U.S.C. 300n-2(d)), and Section 3(a) of Public Law 95-210 (42 U.S.C. 1395 b-1 NOTE).

**OBJECTIVES:** To discover, test, demonstrate, and promote utilization of Health Care Financing concepts which will provide service to beneficiary population while at the same time providing incentives for efficient use of services/resources by provider, and beneficiaries.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded for innovative research and demonstrations of regional and national significance that are responsive to HCFA program priorities in health financing, and for coordination, administration, and provision of services to the beneficiary population. Funds authorized by Section 1115 of the Social Security Act are limited to State agencies administering the Medicaid program. All applications must meet standards of excellence in research or evaluation design. Funds may not be used for construction or major renovation of buildings. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to States and nonprofit organizations. Grants cannot be made directly to individuals.

**Beneficiary Eligibility:** Contributing retirees or specially entitled beneficiaries, the disabled or those with end stage renal disease (For Medicare) and the poor, the aged, children and youth (For Medicaid).

**Credentials/Documentation:** Applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The HCFA research and demonstration strategy for each fiscal year is publicized through central and regional office meetings, the "Federal Register," "Commerce Business Daily," issuance of grant guidelines and requests for proposals, and other appropriate means. Some funds are reserved for creative, unsolicited proposals. Applicants should maintain contact with Regional HCFA offices (See address appendix). The standard application forms as furnished by HCFA and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms are submitted to Project Grants Branch, Division of Administration and Management Services, HCFA, HHS, Rm. 4200C, Mary E. Switzer Building, 330 C Street, S.W., Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Official notice of approved applications is made through issuance of a Notice of Grant Award.

**Deadlines:** Established when grants are solicited by publication in the "Federal Register" for grants and by the individual Request for Proposal for contracts. Grant applications may be submitted at any time. Generally, they will be processed according to the announced schedule.

**Range of Approval/Disapproval Time:** Range from 30 to 365 days. Generally, solicited grants and contracts will be acted upon within 180 days.

**Appeals:** No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, reworking time may be allowed to prepare revisions which clarify various aspects of projects.

**Renewals:** Extensions and Continuations of grants are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee must submit each year a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantees are required to share in the cost of projects. The average cost sharing is 5 percent of total project costs. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Grants are funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of progress and expenditures are required on all projects. Comprehensive final reports are no later than 60 days after termination for grants.

**Audits:** All fiscal transactions identifiable to Federal financial assistance are subject to audit by HHS audit agency.

**Records:** Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0511-0-1-550.

**Obligations:** (Grants) FY 81 $38,623,000; FY 82 est $29,500,000; and FY 83 est $30,000,000.

**Range and Average of Financial Assistance:** Contracts range from $25,000 to $1,000,000. Individual project grants average about $140,000 a year. However, these figures vary with type of program.

**PROGRAM ACCOMPLISHMENTS:** There were 30 project grants awarded in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HCFA Grants Policy Handbook 1980 and Grants Administration policies may be obtained from the Project Grants Branch, Division of Procurement Services, HCFA, E-1, Gwynn Oak Building, 1719 Gwynn Oak Avenue, Baltimore, MD 21235.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Appropriate HCFA Regional Administrator (see Appendix IV for regional offices).

**Headquarters Office:** James Kaple, Acting Director, Office of Policy, Planning and Research, Health Care Financing Administration, Department of Health and Human Services, 300 Independence Avenue, S.W., Washington, DC 20201. Telephone: (202) 472-7431 or (301) 594-7474.

**RELATED PROGRAMS:** 13.256, Health Maintenance Organizations; 13.714, Medical Assistance Program; 13.773, Medicare-Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Access to Care/Utilization of Services: A project to analyze (a) the distribution of benefits and costs of the Medicare and Medicaid programs; (b) how private insurance supplements Medicare and Medicaid and affects utilization; and (c) alternative Medicare and Medicaid financing methods; An 18-month study which will examine the bundles of services that have been used to diagnose and manage a selection of homogenous episodes of illness. Competition and Regulations: A project to examine the impact of hospital reimbursement characteristics on the diffusion of new technology. A detailed analysis of reimbursement system characteristics in six different states will be followed by an empirical analysis of adoption behavior with respect to five specific technologies, among a sample of hospitals drawn form those states. Graduate Medical Education: A project to empirically investigate a number of issues including; (1) how hospital and physician reimbursement mechanisms effect the specialty and geographic distribution of positions offered and (2) what the effect of residency training has upon hospital costs, length of stay and use of ancillary services. Hospital Costs: A study to examine the roles of the physician market and hospital medical staff characteristics on hospital cost inflation and analysis of potential inflationary effects of hospital wage rates due to the growth of hospital unionization. Integrated Data Management System: A project to design a data system to integrate hospital discharge data, hospital billing data, hospital cost data and population data to allow for community-based diagnostic-related rate setting for all patients, using screens which rely on case-mix allowance. State law invests the Commission with authority to mandate the data collection through uniform systems. Physician Reimbursement, Medicaid Research and Demonstrations, Preventive Service, Long Term Care Research, Risk Sharing, and Utilization Review/PSRO Studies And Quality of Care.

**CRITERIA FOR SELECTING PROPOSALS:** The review process will consist of two phases. During the first phase applications will be separated into two groups, those that are relevant to the interests of HCFA and those that are not. The criteria used for this decision will be whether the project fits within the language of HCFA's general interest appearing in the first paragraph of "General Policy Considerations" of the Federal Register announcement. The first group will be screened for completeness and assigned to review panels; the second group will be returned to the applicants. The second phase will consist of the review, ranking and award. The review will be conducted by a panel of not less than three experts (who are not staff members of OPPR). There will be at least one panel for each area of interest. A OPPR/HCFA Project Officer will coordinate the panel's review but will not vote. This individual will also prepare the panel's recommendation to the Director, Office of Policy, Planning and Research. The panel's recommendations will contain numerical ratings, rankings of acceptable projects and a written assessment of each application. The recommendations will be based on nine criteria: HCFA CRITERIA FOR SCORING PROJECT APPLICATIONS: (1) Research or Demonstration Design - Understanding the scope of the work statement and the proposed technical approach to the requirement. This includes a clear statement of goals and objectives, methodology and supporting techniques; (2) Knowledge - State of the art, knowledge of the field, literature, and background material and theory as applicable; (3) Production Capability - Reasonableness of the proposal. Can it be done? Are the person-hour effort and types of personnel reasonable? Are professional and support staff sufficient or planned for? Is assurance given for timely and acceptable performance via Gantt chart(s) or work plan schedule(s); (4) Experience - Organization's prior experience in this or related areas. Principle Investigator's experience in this or related areas and indications of innovative approaches and creative potential; (5) Relevance - Relevance of proposal to HHS priorities and goals; to HCFA Work Plan, and to grants advertised in the Federal Register; (6) Personnel and Facilities - Availability of necessary facilities, equipment, convenient location, etc. Competence of specific kinds and quality of experienced personnel and/or of subcontractors; (7) Budget - Specificity and adequacy of the budget. Are project costs appropriate to the work plan and expected product(s)? Necessity of proposed travel, consultant costs, etc. Are justifications clear and adequate?; (8) Evaluation - Conceptualization, adequacy and sophistication of the evaluation design revelant statistical techniques or other methods. Specification of evaluation criteria of plan for such; and (9) Utilization - Provision for progress and final reports. Probability of and plans for implementing project results. Scope of implementation possibilities (National, State, and local (in whole or in part), etc.).

## 13.773 MEDICARE—HOSPITAL INSURANCE

## (Medicare)

**FEDERAL AGENCY:** HEALTH CARE FINANCING ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Amendments of 1965, Title XVIII, Part A; Public Law 89-97, as amended by Public Laws 90-248, 92-603, 93-233, 94-182, 94-437 and 95-292; 42 U.S.C. 1395 et seq.; Social Security Disability Amendments, Public Law 96-265.

**OBJECTIVES:** To provide hospital insurance protection for covered services to any person 65 or above and to certain disabled persons.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Hospital insurance benefits are paid to participating and emergency hospitals, skilled nursing facilities, and Home Health Agencies to cover the reasonable cost of medically necessary services furnished to individuals entitled under this program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Persons 65 or over and certain disabled persons, are eligible for hospital insurance protection. Nearly everyone who reached 65 before 1968 is eligible for hospital insurance, including people not eligible for cash social security benefits. A person reaching 65 in 1968 or after, who is not eligible for cash benefits, needs some work credit to qualify for hospital insurance benefits. The amount of work credit needed depends on age. Hospital insurance is also available to persons, age 65 or over, not otherwise eligible through payment of a monthly premium. Such coverage is voluntary. Persons under age 65 who have been entitled for at least 24 months to social security disability benefits, or for 29 consecutive months to railroad retirement benefits based on disability, are eligible for hospital insurance benefits. Also, most people who have chronic kidney disease and require kidney dialysis or transplant are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of age or disability.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local social security office. Individuals entitled to social security or railroad retirement are enrolled without application.

**Award Procedure:** The individual will be notified by mail of enrollment, whether automatic or applied for.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit the local social security office or Medicare payment organization responsible for initial determination. The appeal process ranges from a reconsideration to a review by the Federal courts.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8005-0-7-551.

**Obligations:** (Benefit outlays) FY 81 $28,909,081,000; FY 82 est $33,702,311,000; and FY 83 est $38,680,700,000.

**Range and Average of Financial Assistance:** Benefits may be paid for most of the reasonable costs of covered inpatient hospital services and post-hospital extended care services incurred in a benefit period. For benefit periods beginning in the calendar year 1982, the beneficiary is responsible for $228 inpatient hospital deductible, a $57 per day coinsurance amount for the 61st through 90th day of inpatient hospital care, a $114 per day coinsurance amount for inpatient hospital care during the 60 lifetime reserve days, and a $28.50 per day coinsurance amount after 20 days of care in a skilled nursing facility. Home health services are paid in full. (Note 1980 reconciliation eliminated 100 visit limit and prior hospitalization requirements.)

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, it is estimated that 28,450,000 persons will be protected, and 7,340,000 will have payments made in their behalf. In fiscal year 1983, it is estimated that the number protected will increase to 28,927,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 405 422. "Your Medicare Handbook," SSA-79-10050, and other publications are available from any social security office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of regional offices.

**Headquarters Office:** Tera Younger, Acting Director, Bureau of Program operations, Room 300, Mendows East Building Health Care Financing Administration, Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 13.774, Medicare-Supplementary Medical Insurance; Supplementary Medical Insurance; 13.802, Social Security-Disability Insurance; 57.001, Social Insurance for Railroad Workers; 64.010, Veterans Nursing Home Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.774 MEDICARE—SUPPLEMENTARY MEDICAL INSURANCE

### (Medicare)

**FEDERAL AGENCY:** HEALTH CARE FINANCING ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Amendments of 1965, Title XVIII, Part B; Public Law 89-97, as amended by Public Laws 90-248, 92-603, 93-233; 94-182, 95-210 and 95-292; 42 U.S.C. 1395 et seq.; Social Security Disability Amendments, Public Law 96-265.

**OBJECTIVES:** To provide medical insurance protection for covered services to persons 65 or over and certain disabled persons who elect this coverage.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Benefits are paid on the basis of reasonable charges for covered services furnished by physicians and other suppliers of medical services to aged or disabled enrollees. Benefits are paid on the basis of reasonable costs for covered services furnished by participating providers such as hospitals, skilled nursing facilities and home health agencies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons 65 and over, and those under 65 who are eligible for hospital insurance benefits (See 13.773), may voluntarily enroll for supplementary medical insurance. The enrollee pays a monthly premium which is currently $11.00. On July 1, 1982, this premium will become $12.20. Some states pay the premium on behalf of qualifying individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of age or disability.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local Social Security Office. Persons entitled to hospital insurance are enrolled automatically for supplementary medical insurance. Since the program is voluntary, coverage may be declined.

**Award Procedure:** After review of the application is completed, the applicant will be notified by mail.

**Deadlines:** An eligible individual who declines enrollment at first eligibility may enroll during any general enrollment period (the first three months of each year). The monthly premium amount is increased by 10 percent for each 12 months in which a person could have been, but was not enrolled.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit the local Social Security Office or the Medicare payment organization responsible for the initial determination. The appeal process ranges from a review to a formal hearing. No judicial review is provided.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8004-0-7-551.

**Obligations:** (Benefit outlays) FY 81 $12,344,913,000; FY 82 est $14,833,908,000; and FY 83 est $17,173,000,000.

**Range and Average of Financial Assistance:** The beneficiary is responsible for meeting an annual $75 deductible before benefits may begin. Thereafter, Medicare pay 80 percent of the reasonable charges for covered services. Medicare pays 100 percent of reasonable charges for services to hospital inpatients by doctors in the field of radiology or pathology and, after the $75 deductible, 100 percent of the costs for home health services covered under the SMI program.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that in fiscal year 1982, 28,228,000 persons will be enrolled for medical insurance, and 18,954,000 will have payments made in their behalf for covered services. In fiscal year 1983 the estimated number of enrollees will increase to 28,773,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 405, 422. "Your Medicare Handbook," (SSA) 79-10050, and other publications are available from any Social Security Office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of regional offices.

**Headquarters Office:** Tera Younger, Acting Director, Bureau of Program Operation, Room 300, Meadows East Building, Health Care Financing Administration, Baltimore, MD 21207. Telephone: (301) 594-9000.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 13.714, Medical Assistance Programs; 13.773, Medicare-Hospital Insurance; 13.802, Social Security-Disability Insurance; 57.001, Social Insurance for Railroad Workers; 64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.775 STATE MEDICAID FRAUD CONTROL UNITS

**FEDERAL AGENCY:** OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, Title XIX, Section 1903 and Section 963 of Public Law 96-499.

**OBJECTIVES:** To control fraud in the States' Medicaid program.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Provides 90 percent matching funds for 12 quarters and 75 percent matching funds thereafter for investigation and prosecution of fraud in statewide Medicaid programs. The unit must be separate and distinct from the State Medicaid agency.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A single identifiable entity of the State government which the Secretary certifies (and annually recertifies) as meeting the requirements of 1903(q) of the Act (42 CFR 455.300) regarding location, function, and procedure.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Applications containing proposed organization, administration, agreements and procedures for certification of eligibility (see 42 CFR 455.300). Costs will be determined in accordance with 45 CFR Part 74 Subpart Q. Appendix C of that Subpart, which applies to State and local governments, is based on OMB Circular No. A-87. Governors must approve the application pursuant to 42 CFR 455.300.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application for certification will serve as the preapplication coordination document. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. State Governor reviews application. The Inspector General's staff is available to assist with technical development of plans, amendments, revisions, etc.

**Application Procedure:** Application is made in the form prescribed by IG.

**Award Procedure:** States are awarded funds based on the estimates of funds needed. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State estimates must be submitted quarterly as follows: 45 days prior to the beginning of each quarter only if requirements exceed the amount approved for that quarter. State expenditure reports are due 30 days following each quarter. An annual report and application for recertification are required per 42 CFR 455.300, 60 days before the end of each one-year certification period.

**Range of Approval/Disapproval Time:** Applications may take up to 90 days for initial approval.

**Appeals:** If the application is not approved, the State may submit an amended application at any time.

**Renewals:** Application for annual recertification must be submitted 60 days prior to the end of each year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** States are reimbursed for 90 percent of their costs, for first 12 quarters and 75 percent thereafter, computed against a quarterly maximum allowable of the higher of $125,000 or 1/4 of 1 per centum of the sums expended by the Federal, State, or local government in carrying out the States' Plan under Title XIX of the Social Security Act.

**Length and Time Phasing of Assistance:** Funds are awarded quarterly based on annual approved budget and limits on entitlement. A Letter of Credit will be issued.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly program and financial reports required.

**Audits:** HHS Audit agency makes periodic audits of the State program; OIG makes an annual recertification review.

**Records:** All records to be retained for 3 years in accordance with 45 CFR Part 74.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0128-0-1-609.

**Obligations:** (Grants) FY 81 $31,759,829; FY 82 est $39,158,000; FY 83 est $26,346,000. (Note: FY 83 estimate is reflective of a transition year and only includes three quarters since the first quarter awards of FY 84 will not be made in FY 83).

**Range and Average of Financial Assistance:** Grants range from $110,000 to an estimated $10,000,000 per year based on limiting quarterly maximum. An approximate average award is $900,000 per year.

**PROGRAM ACCOMPLISHMENTS:** There are 29 states certified, 1 denied recertification, and 2 withdrawals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 455.300. 45 CFR 74.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Joseph Piazza, Director, Division of State Fraud Control, Office of the Secretary, DHHS, Room 5246 North Bldg., 300 Independence Avenue, N.W., Washington, DC 20201. Telephone: (202) 472-3222.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not appplicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.776 PROFESSIONAL STANDARDS REVIEW ORGANIZATIONS

## (PSRO)

**FEDERAL AGENCY:** HEALTH CARE FINANCING ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title XI, Social Security Act, as amended; Public Laws 92-603, 94-182 and 95-142.

**OBJECTIVES:** The purpose of the PSRO program is to assure that health care services and items for which payment may be made in whole or in part under Titles V, XVIII and XIX of the Social Security Act conform to appropriate professional standards and are delivered in the most effective, efficient, and economical manner possible.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded to voluntary, non-profit groups of local physicians (PSROs) to review the quality, appropriateness and utilization of health care services financed by the Medicare, Medicaid and Maternal and Child Health Programs. For fiscal year 1982 and thereafter direct Federal grants to PSROs will be awarded only for the medical program; States will have the option of contracting with individual PSROs for medicaid review. Such costs will be covered by a 75 percent Federal matching rate under grants to the States for medicaid.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are made to a network of voluntary, non-profit groups of local physicians (PSROs) meeting the requirements of Title XI of the Social Security Act, as amended, or other public non-profit or private groups the Secretary of DHHS determines to be of sufficient professional competence and otherwise suitable.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Opportunity for gubernatorial review as outlined in Transmittal No. 79 is given on plans for PSRO conditional designation, or plans involving assumption of review responsibility for long-term care and ambulatory care. Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide Clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Standard Form 424 is required to be submitted as a cover page for all applications for a PSRO grant. HHS Form 441 Civil Rights Compliance Statement is required to be signed and submitted for a PSRO grant. Information on filing an application for a grant is Transmittal No. 70. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Regional project officers approve PSRO grant proposals. Once a proposal is approved, the PSROs are awarded funds annually. Monthly draw downs are accomplished through the DFAFS system.

**Deadlines:** A PSRO must advise a clearinghouse at least 60 days prior to submitting a proposal, and provide the document, if requested, no later than 30 days prior to submittal to HCFA. The PSRO's objectives and budget must be available to the HSQB Regional Office in draft at least 60 days prior to the anticipated date of submittal.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** PSRO appeal rights are cited under Title 45 Part 16 of the Code of Federal Regulations.

**Renewals:** PSRO's plans are in effect until amended or revised.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Funds for the PSRO Program are awarded for one year and payment is made via the Letter of Credit method as administered by DFAFs.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** PSROs must operate under plans approved by DHHS, and submit quarterly program and financial reports as required by the Health Care Financing Administration.

**Audits:** The PSRO program is subject to audit by the HHS Audit Agency.

**Records:** The PSRO program must maintain records for three years (45 CFR 74.20).

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0511-0-1-550.

**Obligations:** (Grants) FY 81 $45,131,000; FY 82 est $24,409,000; and FY 83 est $5,000,000. (NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.)

**Range and Average of Financial Assistance:** PSRO Grants: FY 81 Lowest: $118,222; Highest $773,071; and Average $262,991.

**PROGRAM ACCOMPLISHMENTS:** PSRO's reviewed 11.0 million hospital admissions in fiscal year 1981 effecting utilization rate decreases measured at 1.7 percent for Medicare patients in 1981. Medical Care Evaluation (MCE) Studies, Focused Reviews and Profile Analysis Studies were initiatives continued in order to improve the quality of care and to increase the cost effectiveness of PSRO activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title XI Social Security Act Part B; 42 CFR 460 (Title 42 of the Public Health Act Part 460 Health Care Financing Administration, Professional Standards Review Organizations); 45 CFR 74 (Title 45, Public Welfare; Part 74 Administration of Grants).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Office of the Regional Director, Health Standards and Quality Bureau, Health Care Financing Administration (see Appendix IV).

**Headquarters Office:** Dennis Siebert, Director, The Office of Professional Standards Review Organizations, Health Standards and Quality Bureau, Health Care Financing Administration, 6401 Security Blvd., Dogwood East Bldg., Baltimore, MD 21235. Telephone: (301) 594-9207.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program; 13.773, Medicare-Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance; 13.777, State Health Care Providers Survey Certification.

**EXAMPLES OF FUNDED PROJECTS:** The different types of projects funded by PSROs program in the past are: (1) Planning PSROs; (2) Conditional PSROs; and (3) Fully designated PSROs. Information is available upon request from potential applicants regarding PSRO activities.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria used to judge PSRO proposals are: (1) PSRO is required to be a nonprofit organization, and (2) a professional association whose members comprise 25 percent of the physicians in the area.

## 13.777 STATE HEALTH CARE PROVIDERS SURVEY CERTIFICATION

**FEDERAL AGENCY:** HEALTH STANDARDS AND QUALITY BUREAU, HEALTH CARE FINANCING ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title XVIII, Social Security Act as amended; Sections 1863, 1864 and 1865. Title XIX, Social Security Act as amended; Section 1903.

**OBJECTIVES:** To provide financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that providers of health care surveys are in compliance with statutory health and safety standards and conditions of participation in Medicare and Medicaid programs.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Funds are made available to States for the purpose of insuring that procedures of health care services meet health and safety standards as required by Medicare and Medicaid. Funds made available under this program support or reimburse State staff for performing provider review activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States enter into agreements with the Health Care Financing Administration staff whereby the designated agency of the State will be supported or reimbursed for review of health care providers. The designated State agency is usually that unit performing licensure activities within the State health departments.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** States must present written evidence of a willingness to cooperate in carrying out the survey function. Costs will determined in accordance with OMB Circular No. A-87 for State and local governments. Governors or their designated plan review agencies must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** States submit budget plans and estimated quarterly expenditures for support of Medicare/Medicaid survey and certification activities. Budget proposal and estimated expenditures must comply with OMB Circular No. A-87 cost principles.

**Award Procedure:** States are provided with notices of approved budgets and funds are made available quarterly under letters of credit procedures. States draw funds through DHHS's Department of Federal Assistance Financial System (DFAFS).

**Deadlines:** Annual budget proposals are requested from the appropriate State agency by May 30 prior to the applicable Federal fiscal year. In addition, estimates of the amounts to be claimed for reimbursement under Title XIX are required 45 days prior to the applicable quarter. Reports of actual expenditures incurred are required 30 days after the close of each quarter. Cost principles of OMB Circular No. A-87 are applicable.

**Range of Approval/Disapproval Time:** States' plans may take from 90 to 120 days for initial approval or disapproval.

**Appeals:** State budget proposals are reviewed by Health Care Financing Administration regional staff resulting in negotiations for operating levels available within appropriation constraints. Throughout the course of the year supplemental budget requests may be submitted by State agencies for which the Health Care Financing Administration will seek funding through reallocations and/or Federal appropriations supplemental budget requests. Budget plans are submitted on an annual basis and may be updated anytime by the State agency for supplemental requests.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds available for Title XVIII survey costs are not subject to matching requirements. Awards for reimbursement of Title XIX related survey costs are subject to matching requirements as prescribed by Section 1903 (a), (4), (7) and as further defined in 45 CFR 446.175.

**Length and Time Phasing of Assistance:** Funding authority is provided for a full year to State agencies performing survey and certification activities pertaining to Medicare and Medicaid programs.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States operate under an approved plan. Quarterly expenditure reports are required thirty days after the close of each quarter and monitoring is carried out by Department of Health and Human Services, HCFA.

**Audits:** HHS Audit Agency makes periodic audits of State survey agencies.

**Records:** States must maintain records which substantiate the costs relating to survey activities.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0511-0-1-550.

**Obligations:** (Grants) FY 81 (Title XVIII) $27,447,000; (Title XIX) $31,730,000; FY 82 est (Title XVIII) $21,126,000; (Title XIX) $31,837,000; and FY 83 est (Title XVIII) $19,235,000; (Title XIX) est $31,800,000.

**Range and Average of Financial Assistance:** Title XVIII in 1981 - Low $9,560, High $3,687,405; and Average $460,878. Title XIX Low $50,344; High $4,136,149; and Average $632,800.

**PROGRAM ACCOMPLISHMENTS:** State agencies annually survey approximately 35,800 health care providers participating in the Medicare/Medicaid programs. Also, States validate on a sample basis approximately 5,000 Joint Commission on the Accreditation of Hospitals surveys.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 18, Social Security Act as amended Sections 1863, 1864 and 1865. Title 19, Social Security as amended, Sections 1903, 1904, 1908, and 1910; 42 CFR subparts J, K, L, M, N, O, Q, S and U.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Office of the Regional Director, Health Standards and Quality Bureau, Health Care Financing Administration. (See Appendix IV).

**Headquarters Office:** Thomas Morford, Director of the Office of State Certification, Health Standards and Quality Bureau, Health Care Financing Administration, 6401 Security Blvd., Dogwood East Bldg., Baltimore, MD 21235. Telephone: (301) 597-2750.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program; 13.773, Medicare-Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Information relating to federally funded projects is available to State health agencies upon request.

**CRITERIA FOR SELECTING PROPOSALS:** Selecting criteria for Federal funding of State certification proposals are available to State health agencies upon request.

## 13.802 SOCIAL SECURITY—DISABILITY INSURANCE

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act of 1935, as amended; Public Laws 74-271, 92-603, 93-66, 93-233, 94-473, 95-216, 96-265, 96-473, 96-499, 97-35, and 97-123; 42 U.S.C. 420-425.

**OBJECTIVES:** To replace part of the earnings lost because of a physical or mental impairment severe enough to prevent a person from working.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Monthly cash benefits are paid to eligible disabled persons and to eligible auxiliary beneficiaries throughout the period of disability after a 5-month waiting period. Costs of vocational rehabilitation also are paid for certain beneficiaries. Disability benefits are not payable to a person confined in a penal institution because of a felony conviction unless that person is satisfactorily participating in a rehabilitation program approved for him or her by a court of law and which is expected to result in that person being able to engage in gainful activity upon release. There are no restrictions on the use of benefits received by beneficiaries.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A disabled worker under age 65 is eligible for Social Security disability benefits if he has worked for a sufficient period of time under social security to be insured. The insured status requirements depend upon the age of the applicant and the date he became disabled. Certain family members of disabled workers also are eligible for benefits: (1) Unmarried children under age 18; (2) children age 18 through 21 if unmarried and full-time students in a post-secondary school prior to May 1982; effective August 1982, student benefits will be payable only up to age 19 for students in elementary secondary school. (3) unmarried adult offspring at any age if disabled before age 22; (4) wife or husband at any age if child in her or his care is receiving benefits on worker's Social Security record and is under 16 (for a newly entitled spouse); (5) spouse age 62 or over. The benfit for a spouse is subject to a pension offset if he or she receives a governmental pension based on his or her own work in non-covered employment. However the offset does not apply if the person receives or becomes eligible to receive the pension before December 1, 1982, and can meet eligibility requirements for Social Security dependents' benefit as they existed in January 1977.

**Beneficiary Eligibility:** Same as Applicant Eligibility. Under the definition of disability in the Social Security law, disability benefits (except those paid to widows, widowers and surving divoced wives) are provided a medically determinable physical or mental impairment that has lasted or is expected to last at least 12 months, or to result in death. Impairments arising in connection with a crime committed by the individual when a person is unable to engage in substantial gainful activity by reason of or in connection with the individual's confinement in a penal institution due to a felony conviction will not be considered in determining disability. Retired workers who have some work credits under Social Security and some work credits under a foreign social insurance system, but not enough credit to qualify under either system may have their credits combined if it would give them sufficient credit to qualify under Social Security. However the United States must have a special agreement with the foreign social insurance system. It currently has such agreements with Italy, Switzerland and West Germany and others are in the process of being finalized.

**Credentials/Documentation:** Proof of disability and possibly proof of age. If applying for benefits for family members, additional proofs of age, relationship to disabled worker, or school attendance may be required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local Social Security Office.

**Award Procedure:** After review of the application is completed, the applicant (or representative payee) will be notified by mail.

**Deadlines:** An applicant should apply for disability benefits when he feels he meets the eligibility requirements. Retroactivity of benefit payments is limited to one year before filing.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit any Social Security Office. The appeal process ranges from a reconsideration to a review by the Federal courts.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in address or eligibility requirement (such as improvement of disabling condition or work activity) must be reported to the local Social Security Office when it occurs.

**Audits:** Persons with certain types of impairments are recontacted to see if their conditions have improved.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8007-0-7-601.

**Obligations:** (Benefit outlays) FY 81 $16,853,311,000; FY 82 est $17,662,000,000; and FY 83 est $18,201,000,000.

**Range and Average of Financial Assistance:** For a disabled worker who has met the disability insured status requirements as of January 1982, monthly cash benefits range from a minimum of $135.70 for a disabled worker to a maximum of $1,074.20 for a family receiving benefits. This takes account stipulations set forth in P.L. 96-265, and P.L. 97-35. Under P.L. 97-123, the minimum amount is no longer applicable for workers who either become disabled or first met the insured status requirements after December 1981, and a lesser amount can be paid, depending an the worker's average earnings.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that in fiscal year 1982, an average of 4,415,000 disabled workers and their dependents will receive monthly cash benefits, and that during 1983 the number receiving benefits will decrease to 4,247,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 404 and 422. "If You Become Disabled," SSI-29, and other publications are available from any Social Security Office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of local offices.

**Headquarters Office:** Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.773, Medicare—Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance; 13.803, Social Security-Retirement Income; 13.806, Special Benefits for Disabled Coal Miners; 13.807, Supplemental Security Income; 13.808, Assistance Payments-Maintenance Assistance; 17.302, Longshoremen's and Habor Workers' Compensation; 17.307, Coal Mine Workers' Compensation; 57.001, Social Insurance for Railroad Workers; 64.103, Life Insurance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.803 SOCIAL SECURITY—RETIREMENT INSURANCE

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act of 1935, as amended; Public Laws 74-271, 92-603, 93-66, 93-233, 95-216, 96-473, 96-499, 97-35, and 97-123; U.S.C. 401-433.

**OBJECTIVES:** To replace part of the earnings lost because of retirement.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Monthly cash benefits are paid to eligible retired workers and their eligible dependents. There are no restrictions on use of benefits by a beneficiary.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Retired workers age 62 and over who have worked the required number of years under Social Security are eligible for monthly benefits. If an eligible worker age 62 or over applies before age 65, the individual will receive permanently reduced benefits. Also certain dependents can receive benefits. They include a wife or husband age 62 or over; a spouse of any age with a dependent child under age 16 for a newly entitled spouse (or over 18 and disabled before age 22) in his or in her care if the child is entitled to benefits based on the worker's record; unmarried children under 18 (22 if full-time students) in a post-secondary school prior to May 1982; effective August 1982, student benefits will be payable only up to age 19 for students in elementary or secondary schools; unmarried disabled children if disabled before age 22; and divorced wives or husbands age 62 or over who were married to the worker for at least 10 years. All benefits, other than benefits to disabled beneficiaries, and beneficiaries 72 and olkder, are subject to an earnings test under which benefits are reduced by $1 for each $2 of earnings over certain limits (in 1982, $4,440 for people under 65 and $6,000 for people ages 65 through 71). The benefit for a spouse is subject to a pension offset if he or she receives a governmental pension based on his or her own work in noncovered employment. However, the offset does not apply if the person receives or becomes eligible to receive the pension before December 1, 1982, and can meet eligibility requirements for social security dependents' benefits as they existed in January 1977. In a recent courtcase, Rosofsky V. Schweiker, a United States District Court found the present exception to the pension offset to be unconsititutional. The decision will be appealed. A worker and spouse can get benefits only for the months in which all conditions of eligibility were met, effective for people who have reached age 62 since August 1981. Retired workers who have some work credits under Social Security and some work credits under a foreign social insurance system, but not enough credits to qualify under either system, may have their credits combined if it would give them sufficient credits to qualify under social security. However, the United States must have a special agreement with the foreign social insurance system and it currently has such agreements with Italy, Switzerland, and West Germany. Also, free work credits are granted to persons of Japanese ancestry who were interned in the United States during World War II.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of age. If applying for benefits for dependents, additional proofs of age, or relationship to the retired worker may be required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local Social Security Office.

**Award Procedure:** After review of the application is completed, the applicant will be notified by mail.

**Deadlines:** It is to the worker's advantage to apply for benefits in the three months before he retires. Retroactivity is limited to 6 months if unreduced benefits are being awarded; no retroactivity in most cases where reduced benefits are being awarded.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit the local social security office. The appeal process ranges from a reconsideration to a review by the Federal courts.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in address or eligibility requirements (such as work status, marital or family status, school attendance, etc.) must be reported to the social security office when it occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8006-0-7-601.

**Obligations:** (Benefit outlays) FY 81 $89,032,000,000; FY 82 est $102,107,000,000; and FY 83 est $113,988,000,000.

**Range and Average of Financial Assistance:** Monthly cash benefits range from $108.60 for retired workers age 62 to $679.30 for retired workers age 65, and from $203.60 to $1,188.10 for maximum family benefits (as of January 1982). Under P.L. 97-123, the minimum benefit amount is no longer applicable in general for those eligible as of 1981, and lesser amounts can be paid depending upon average earnings.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that in fiscal year 1982, an average of 23,939,000 retired workers and their dependents will receive monthly cash benefits, and that in 1983 the number receiving benefits will grow to 24,497,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 404, 422. "Your Social Security," "Thinking About Retiring," and many other publications are available from any social security office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of local offices.

**Headquarters Office:** Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.802, Social Security—Disability Insurance; 13.804, Social Security-Special Benefits for Persons Aged 72 and Over; 13.805, Social Security-Survivors Insurance; 13.806, Special Benefits for Disabled Coal Miners; 13.807, Supplemental Security Income; 57.001, Social Insurance for Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.804 SOCIAL SECURITY—SPECIAL BENEFITS FOR PERSONS AGED 72 AND OVER

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Tax Adjustment Act of 1966; Public Laws 87-368, 92-603 and 93-233; 42 U.S.C. 427-428.

**OBJECTIVES:** To assure some regular income to certain persons age 72 and over who had little or no opportunity to earn social security protection during their working years.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Special monthly benefits are paid to eligible beneficiaries age 72 and over. There are no restrictions on use of the benefits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals who attained age 72 before 1968 need no work credits under Social Security to be eligible for special payments. Those who reach age 72 in 1968 or later need some work credits to be eligible. The amount of work credit needed increases gradually each year for people reaching age 72 after 1968, until it is the same as that required for Social Security retirement benefits. Special payments can also be made to an eligible wife age 72 or over.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of age, and proof of relationship if a wife is applying.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local Social Security Office.

**Award Procedure:** After review of the application is completed, the applicant will be notified by mail.

**Deadlines:** Applicants should apply as soon as they are eligible, as no retroactive benefits can be paid.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit the local Social Security Office. The appeal process ranges from a reconsideration to a review by the Federal courts.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Beneficiaries must notify the Social Security Office if they change their address, become eligible for a Government pension or receive supplemental security income benefits.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8006-0-7-601.

**Obligations:** (Benefit outlays) FY 81 $113,000,000; FY 82 est $104,000,000; and FY 83 est $92,000,000.

**Range and Average of Financial Assistance:** $117.00 per person, $175.50 per couple as of July 1981. (The payments are not made for any month for which the person receives a payment under the Supplemental Security Income program. The payments are reduced by the amount of most other governmental pensions, retirement benefits, or annuities.)

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, an average of 88,000 beneficiaries received special monthly payments. In fiscal year 1982, the number will decrease to 73,000, and 60,000 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 404, and 422. "Your Social Security," and other publications are available from any Social Security Office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of local offices.

**Headquarters Office:** Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.803, Social Security—Retirement Insurance; 13.805, Social Security-Survivors Insurance; 13.807, Supplemental Security Income; 57.001, Social Insurance for Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicalble.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.805 SOCIAL SECURITY—SURVIVORS INSURANCE

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act of 1935, as amended; Public Laws 74-271, 92-603, 93-66, 93-233, 95-216, 96-499, 97-35 and 97-123; The Social Security Amendments of 1977; 42 U.S.C. 401-429.

**OBJECTIVES:** To replace part of earnings lost to dependents because of worker's death.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Monthly cash benefits are paid to eligible dependents of deceased workers. There are no restrictions on the use of benefits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Benefits are payable only if the deceased was insured for survivors' insurance protection. Survivors eligible for monthly cash benefits are the following: widow or widower 60 or over, surviving divorced wife or husband age 60 or over who was married to the deceased worker for at least 10 years, widow or widower age 50-59 and disabled; young (under age 60) widow, widower, or surviving divorced spouse who has in his or her care a child under age 18 (16 effective September 1981 for a newly entitled spouse) or over age 18 and disabled and entitled to benefits on the deceased worker's social security record; unmarried children under age 18 (22 if full-time students in a post-secondary school prior to May 1982; effective August 1982, student benefits will be payable only until 19 for students in elementary on secondary schools) and over 18 and disabled before 22; and dependent parents age 62 and over. All survivors benefits are subject to an earnings test under which benefits are reduced by $1 for each $2 of earnings over certain limits. In 1982 limits are $4,440 for people under 65 and $6,000 for people 65 and over. Except for benefits to children and dependent parents, all survivors benefits are subject to a pension offset if the person is also receiving a governmental pension based on his or her own work in noncovered employment. However, the offset does not apply if the person receives, or is eligible to receive, the pension before December 1, 1982, and can meet the eligibility requirements for the social security dependents' benefit as they existed in January 1977. In a recent court case, Rosotsky V. Schweiker, a United States District Court found the present exception to the pension offset to be unconstitutional. The decision will be appealed. Retired workers who have some work credits under Social Security and some work credits under a foreign social insurance system, but not enough credit to qualify under either system, may have their credits combined if it would give them sufficient credit to qualify under Social Security. However, the United States must have a special agreement with the foreign social insurance system and it currently has such agreements with Italy, Switzerland, and West Germany. Also, free work credits are granted to persons of Japanese ancestry who were interned in the United States during World War II.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of death, age, and relationship. For certain dependents, proof of support may be required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local Social Security Office.

**Award Procedure:** After review of the application is completed, the applicant will be notified by mail.

**Deadlines:** Retroactivity is limited to 6 months if unreduced benefits are being awarded; no retroactivity in most cases when reduced benefits are being awarded.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit the local Social Security Office. The appeal process ranges from a reconsideration to a review by the Federal courts.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in address or in eligibility requirements (such as work status, marital or family status, student attendance, etc.) must be reported to social security when it occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8006-0-7-601.

**Obligations:** (Benefit outlays) FY 81 $29,899,000,000; FY 82 est $32,587,000,000; and FY 83 est $35,053,000,000.

**Range and Average of Financial Assistance:** Monthly cash benefits range up to $682.80 for the widow of a worker who dies at 65 (as of January 1982).

**PROGRAM ACCOMPLISHMENTS:** It is estimated that in fiscal year 1982, an average of 7,606,000 survivors will receive monthly cash benefits, and that in 1983 the number will decrease to 7,505,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 404, 422. "Your Social Security," and other publications are available from any Social Security office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of local offices.

**Headquarters Office:** Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.802, Social Security—Disability Insurance; 13.803, Social Security-Retirement Insurance; 13.804, Social Security-Special Benefits for Persons Aged 72 and Over; 13.806, Special Benefits for Disabled Coal Miners; 13.807, Supplemental Security Income; 17.302, Longshoremen's and Harbor Workers' Compensation; 17.307, Coal Mine Workers' Compensation; 57.001, Social Insurance for Railroad Workers; 64.103, Life Insurance for Veterans; 64.105, Pension to Veterans Surviving Spouses, and Children.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.806 SPECIAL BENEFITS FOR DISABLED COAL MINERS

### (Black Lung)

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Federal Coal Mine Health and Safety Act of 1969; as amended by the Black Lung Benefits Act of 1972, Public Law 92-303 and the Black Lung Reform Act of 1977, Public Law 95-239.

**OBJECTIVES:** To pay benefits to coal miners who have become disabled due to pneumoconiosis (black lung disease or other chronic lung disease) and their dependents or survivors.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Monthly cash benefits are paid to entitled coal miners, widow(er)s of coal miners and, under prescribed circumstances, to children, parents, brothers and sisters. There are no restrictions on the use of benefits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** In order to become entitled, the miner must have become "disabled" (as defined in the Act) from black lung or another chronic lung disease and have already applied for benefits. Widow(er)s of coal miners whose deaths or disability at the time of death resulted from black lung or other chronic lung disease are also eligible for benefits as are other categories of beneficiaries.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of employment in coal mine and of disability due to black lung or other chronic lung disease arising from coal mine employment. Also, proof of death, relationship, and dependency for those who are eligible.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Since 1973 no new applications have been accepted for this program except for applications from survivors of miners or widows who were receiving black lung benefits when the miner or widow died.

**Award Procedure:** After the application is reviewed, a notice is mailed to the applicant.

**Deadlines:** The claim must be filed within 6 months after the death of the minor or widow.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** An applicant whose claim is denied by SSA should contact the local SSA office.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in an eligibility requirement or in a factor affecting the amount of benefits, such as a change in workers' compensation, must be reported when it occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0409-0-1-601.

**Obligations:** (Benefit outlays) FY 81 $1,085,562,000; FY 82 est $1,092,000,000; and FY 83 est $1,096,000,000.

**Range and Average of Financial Assistance:** Benefits payable to miners or widows are increased when there are dependents in the family. The basic black lung benefit was $280 in October 1980, $293 October 1981 and will be $308 in October 1982. Maximum benefit payable beginning in October 1981 is $586.40.

**PROGRAM ACCOMPLISHMENTS:** At mid-point of fiscal year 1981, 394,000 miners, widows and dependents were receiving monthly cash benefits under this program. At mid-point of fiscal year 1982 the number will decrease to 374,000, and to 355,000 in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 410, 422.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of local offices.

**Headquarters Office:** Office of Public Inquiries, Room 4100, Annex, Social Security Administration, 6401 Security Blvd., Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.802, Social Security—Disability Insurance; 13.803, Social Security-Retirement Insurance; 13.805, Social Security-Survivors Insurance; 13.807, Supplemental Security Income; 17.302, Longshoremen's and Harbor Workers' Compensation; 17.307, Coal Mine Workers' Compensation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.807 SUPPLEMENTAL SECURITY INCOME

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Amendments of 1972, Title XVI Parts A and B, Public Laws 92-603, 93-66, 93-233, 93-368, 94-202, 94-331, 94-455, 94-566, 94-569, 94-585, 95-171, 95-216, 95-458, 95-481, 95-549, 95-600, 95-602, 96-265, 96-611, and 97-35.

**OBJECTIVES:** To provide supplemental income to persons aged 65 and over and to persons blind or disabled whose income and resources are below specified levels.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Supplemental security income payments are made to persons who have attained age 65 or who are blind or disabled. There are no restrictions on the use of benefits received by beneficiaries.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The eligibility of an individual who has attained age 65 or who is blind or disabled is determined on the basis of a monthly assessment of the individual's income and resources. In determining income, the first $20 of social security or other unearned income received monthly would not be counted. An additional $65 of earned income, received in a month plus one-half of the remainder above $65, also would not be counted. If, after these exclusions, an individual's countable income, effective July 1981, is less than $264.70 per month ($397.00 for a couple, both of whom are aged, blind or disabled and countable resources are less than $1,500 ($2,250 for a couple), the individual is eligible for payments. The value of household goods, personal effects, an automobile, and property needed for self support are, if within limits set out in regulations, excluded in determining value of resources.

Life insurance policies with total face value of $1,500 or less and the value of a home are also excluded in resource valuation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of age; marital status; establishment of income and resources; establishment of blindness or disability; proof of citizenship or lawful admission to the U.S. for permanent residence.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone or visit the local Social Security Office.

**Award Procedure:** The individual will be notified by mail of award or denial.

**Deadlines:** None. No benefits are paid for months prior to the month of application.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Telephone or visit the local Social Security Office. The appeal process ranges from a district office conference to a review by the Federal Courts.

**Renewals:** Generally, a redetermination of a person's benefit amount and continuing eligibility will be made annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory forumla. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of address or any event affecting eligibility or benefit amount (such as an increase in resources or income or improvement of disabling condition) must be reported to the Social Security Administration when the event occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0406-0-1-604.

**Obligations:** (Benefit outlays) FY 81 $6,396,035,000;FY 82 est $6,971,000,000; and FY 83 est $7,985,000,000.

**Range and Average of Financial Assistance:** Monthly Federal cash payments range from $1 to $264.70 for an aged, blind, or disabled individual who does not have an eligible spouse, and from $1 to $397 for an aged, blind, or disabled individual who has an eligible spouse. These rates became effective July 1981. The average Federal benefit for FY 1981 for an individual without an eligible spouse was $151.17, and for an individual with an eligible spouse $176.50.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that in fiscal year 1982, an average of 4,126,000 recipients will receive monthly cash benefits. During 1983, the number receiving payments is estimated to decrease to 4,116,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 401, 416, and 422. "SSI for the Aged, Disabled, and Blind," other publications are available from any Social Security Office without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Consult Appendix IV for listing of local offices.

**Headquarters Office:** Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program; 13.802, Social Security-Disability Insurance; 13.803, Social Security-Retirement Insurance; 13.804, Social Security-Special Benefits for Persons Aged 72 and Over; 13.805, Social Security-Survivors Insurance; 13.806, Special Benefits for Disabled Coal Miners; 13.808, Assistance Payments-Maintenance Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.808 ASSISTANCE PAYMENTS—MAINTENANCE ASSISTANCE

### (Maintenance Assistance; State Aid)

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act of 1935; Public Law 74-271; Titles I, IV-Part A, X, XIV, XVI (AABD) as amended.

**OBJECTIVES:** To set general standards for State administration, to provide the Federal financial share to states for aid to families with dependent children, emergency assistance to families with children, assistance to repatriated U.S. Nationals, and in Guam, Puerto Rico, and Virgin Islands aid to the aged, blind, permanently and totally disabled also, and administration of these welfare programs, and to monitor performance.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Money payments by states-made directly to eligible needy families with dependent children and to needy, aged, blind, or disabled persons in Guam, Puerto Rico, and the Virgin Islands are to cover costs for food, shelter, clothing, and other items of daily living recognized as necessary by each State's program. Payments in the form of money or vendor payments assist needy families in emergency or crisis situations to avoid destitution or provide living arrangements. Funds for State and local administration of programs are for costs of interviewing public assistance applicants for eligibility determination and validation of eligibility; costs of State and local personnel engaged in program direction and management; and other on-going costs and activities related to administering the programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local welfare agencies must operate under HHS-approved State Plans and must comply with all Federal regulations governing aid and assistance to needy families with dependent children, and also to needy aged, blind or permanently and totally disabled persons in Guam, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:** Needy families with dependent children deprived of parental support or care, and families with children needing emergency welfare assistance; and aged, blind or permanently and totally disabled persons in Guam, Puerto Rico, and the Virgin Islands.

**Credentials/Documentation:** Federal funds must go to a certified State welfare agency. Individuals must meet State eligibility requirements. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, the Social Security Act, Federal Regulations and the State plan.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are available from HHS/SSA Regional Offices (see appendix). States should contact these offices for developing State Plans for various activities within the maintenance assistance program. State Governors review State Plans, amendments, and any other federally required reports prior to submission to SSA.

**Application Procedure:** Eligible individuals--Needy families with dependent children, and in Guam, Puerto Rico, and the Virgin Islands, the aged, blind, or disabled; should apply directly to the State or local welfare agency. States should contact SSA Regional Commissioners (see appendix) for application forms (State Plans). Regional Commissioners have authority to approve State Plans and amendments; disapproval authority is held by the SSA Commissioner. States contact HHS regional offices for applications for administrative funds.

**Award Procedure:** Once a State Plan is approved, states are awarded funds quarterly based on their estimates of maintenance assistance and administrative costs. Notification of awards must be made to the designated State agency and the State Central Information Reception Agency in accordance with Treasury Circular 1082. Individuals receive monthly subsistence checks from State or local welfare agencies.

**Deadlines:** Individuals may apply anytime to State or local welfare agencies for assistance. States' estimates must be submitted quarterly as follows: February 15, May 15, August 15, and November 15.

**Range of Approval/Disapproval Time:** State or local welfare agencies must have a time standard for notifying applicants of approval/disapproval; not over 45 days after application, except 60 days for aid to disabled. State Plan changes may require up to 90 days for approval.

**Appeals:** Individuals denied assistance must be given a fair hearing on appeal. (USCFR, Chapter 2, Section 205.10). State agencies may request a hearing before the Commissioner, Social Security Administration, regarding adverse decisions. (45 CFR, Chapter 2, Section 201.14; 45 CFR Part 16).

**Renewals:** Persons receiving assistance must be reviewed for eligibility every 12 months, except that AFDC recipient must be reviewed and approved every 6 months. State Plans once approved remain in effect but parts may be amended or revised.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for Federal sharing in assistance payments are: 1) states' ratio of per capita income, and the source is from "Personal Income" produced by the Bureau of Economic Analysis, and 2) Federal Medical Assistance percentage by States and the source is from the "AFDC Money Payments for Federal Funding" (unpublished), and the Social Security Administration. Statistical factors for eligibility do not apply to this program. The Federal share for AFDC is based on a State's average monthly payment of $32 per recipient ($100 per child in foster care). Grant funds pay 5/6 of the first $18 of the average payment and then 50 percent to 60 percent of the balance within the Federal average maximum. If it is to the State's benefit, it may use the medicaid formula with no maximum (provided the State has an approved medicaid Plan) which may range from 50 to 83 percent Federal funds. The Federal share of payments for AFDC and the adult categories in Guam, Puerto Rico, and the Virgin Islands is determined by individual computation and subject to statutory ceilings.

**Length and Time Phasing of Assistance:** Individuals receive support from the State or local welfare agency until they no longer meet the eligibility requirements of the State. Grant funds are awarded to states quarterly. Letters of Credit are issued to states for cash draws on the Federal Reserve Bank.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States must operate under an HHS approved State Plan and submit fiscal and statistical reports as required by the Secretary of HHS to SSA. A Treasury Report, TUS-5104, is required from the states each time funds are drawn and no less frequently than monthly.

**Audits:** States must have a quality control system to check on eligibility of and overpayments and underpayments to recipients on a sampling basis. Audits are performed by the HHS Office of Inspector General.

**Records:** States must maintain records which substantiate eligibility determination and grants made.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0412-0-1-604.

**Obligations:** (Grants) FY 81 $7,083,123,000; FY 82 est $7,109,275,000; and FY 83 est $7,289,968,000.

**Range and Average of Financial Assistance:** $2,025,000 to $1,271,839,000; $131,168,900.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, an approximate average monthly number of 11,106,000 recipients received maintenance assistance. The figures for fiscal years 1982 and 1983 are estimated to be 11,038,000, and 10,638,000, respectively. In fiscal year 1981, 509 mentally ill and other repatriates received assistance; for fiscal year 1982, the estimate is 485 mentally ill and other repatriates.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A copy of the State Plan must be available in the local agency office. SSA regulations are published in the Federal Register, 45 CFR 200 et seq. The following literature is available at no charge: "Aid to Families with Dependent Children" (SSA78-10030).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals needing assistance should contact the local welfare agency. States should contact regional offices (see Appendix IV of the Catalog).

**Headquarters Office:** Office of Intergovernmental Communications, Office of Family Assistance, Social Security Administration, Department of Health and Human Services, Room B404 Trans Point Building, 2100 2nd St. S.W., Washington, DC 20201. Telephone: (202) 245-2736.

**RELATED PROGRAMS:** 13.646, Work Incentive Program 13.714, Medical Assistance Program; 13.802, Social Security-Disability Insurance; 13.807, Supplemental Security Income.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.810 ASSISTANCE PAYMENTS—STATE AND LOCAL TRAINING

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, Sections 3, 403 and 1003, 1403, and 1603; as amended.

**OBJECTIVES:** To train personnel employed or preparing for employment in State agencies or in local agencies administering approved public assistance plans.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Enables State agencies to provide educational leave for employees, stipends for persons preparing for employment, or make grants to educational institutions as well as pay for the costs of the agency in-service training.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All states, District of Columbia, Puerto Rico, the Virgin Islands, and Guam. To receive Federal funds, the State program must be a part of its approved State Plan and the State must provide its share of the costs.

**Beneficiary Eligibility:** Employees of State public assistance agencies, as well as persons preparing for employment in public assistance.

**Credentials/Documentation:** State enabling legislation provides the basis for State participation. Governors (or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, the Social Security Act, Federal regulations and the State Plan.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State Governors' review State Plans, amendments, quarterly estimates and other federally required reports. Regional office staff are available to assist with technical development of State Plans, amendments, revisions, etc.

**Application Procedure:** Applications are submitted in the form of State Plan as prescribed by the Social Security Administration. States should contact SSA Regional Commissioners for application forms. Regional Commissioners have authority to approve plans and amendments; they also have authority to disapprove them after consultation with the Associate Commissioner for Family Assistance.

**Award Procedure:** State Plans are approved by regional offices and funds are allotted quarterly based on State estimates of funds needed to carry out the approved State Plan. Notification of awards is made to the State agency responsible for administering the State Plan and to State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** States estimates must be submitted quarterly as follows: August 15, November 15, February 15, and May 15.

**Range of Approval/Disapproval Time:** State Plans may require up to 90 days for approval.

**Appeals:** States have 60 days after disapproval to resubmit revised plans.

**Renewals:** Once approved, State Plans are in effect until amended or revised.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** States are reimbursed for 50 percent of their costs, associated with the provision of educational leave and in-service education and training for individuals preparing for employment in public assistance effective October 1, 1981.

**Length and Time Phasing of Assistance:** Grant awards are made quarterly. Monthly Letters of Credit are issued for cash draws on Federal Reserve Banks.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Treasury report TUS-5401 is required monthly. SRS-OA-41 Quarterly Expenditure Report OFM-65 Quarterly Estimate of Expenditures and SSA-125 Quarterly Statement of Financial Plan are required.

**Audits:** HHS Audit Agency makes periodic audits of State programs.

**Records:** Proper grant accounting records, recording all items of receipts and expenditures. Records to be retained for 3 years; or, if audited until all audit questions are resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0412-0-1-604.

**Obligations:** (Grants) FY 81 $32,326,000; FY 82 est $24,156,000; and FY 83 est $0. (NOTE: Proposed to be consolidated into the Combined Welfare Administration.)

**Range and Average of Financial Assistance:** Zero to $7,969,000; $598,629.

**PROGRAM ACCOMPLISHMENTS:** This program has provided funding for State and local employees who have attended workshops and seminars related to maintenance assistance programs. It also allows a select number of State and local employees to be on full or part-time educational leave.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 235.60-66. Federal Regulations, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Assistant Regional Commissioner for Family Assistance, Social Security Administration (see Appendix IV of the Catalog for locations and telephone numbers of The Department of Health and Human Services).

**Headquarters Office:** Office of Intergovernmental Communications, Office of Family Assistance, Social Security Administration, Department of Health and Human Services, Trans Point Building, 2100 2nd St. S.W., Washington, DC 20201. Telephone: (202) 245-2736.

**RELATED PROGRAMS:** 10.551, Food Stamps; 13.623, Administration for Children, Youth and Families—Runaway Youth; 13.668, Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs; 13.648, Child Welfare Services Training Grants; 13.714, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.812 ASSISTANCE PAYMENTS—RESEARCH

## (SSA Research)

**FEDERAL AGENCY: SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**AUTHORIZATION:** Social Security Act, as amended: Title IV, Part A, and Title XI, Sections 1110 and 1115; Public Law 90-248; and Public Law 88-452; 42 U.S.C. 1310 and 1315.

**OBJECTIVES:** To experiment, pilot, demonstrate, and research new public assistance concepts to reduce dependency, and to improve living conditions of recipients of public assistance. Grants funded for OCSE are for research or demonstration projects which will add to existing knowledge and improvements of new methods and techniques for the planning, management, coordination and delivery of child support enforcement activities related to the eligible population.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants and contracts are awarded for innovative research and demonstrations of regional and national significance that are responsive to SSA program priorities in public assistance. Funds authorized by Section 1115 of the Social Security Act are limited to State agencies administering the public assistance programs. All applications must meet standards of excellence in research and evaluation design. In general, the Office of Child support Enforcement (OCSE) intends to support the following types of projects: (1) Those which develop and demonstrate new financing mechanisms, adminstrative procedures, and technological innovations for improving the effectiveness and efficiency of child support enforcement programs at the State and local levels. (2) Those which develop more knowledge on the characteristics and financial needs of a target group. (3) Those which develop and implement analytical models for comparing the relative merits of alternative methods for carrying out the child support enforcement programs. Research and demonstration projects will be directed toward priorities derived from State administration and program issues. OCSE has identified certain specific priority projects which reflect these administrative and program issues, and which are described in more detail in the Application Kit. A portion of the funds under this program are used by the Social Security Administration for research into all aspects of current social security programs, their economic and social impact, alternative methods of providing services to the population groups covered or potentially covered by these programs. Funds may not be used for construction or major renovation of buildings. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to states and nonprofit organizations. Contracts may be executed with nonprofit or profit organizations.

**Beneficiary Eligibility:** The poor, the aged, children and youth.

**Credentials/Documentation:** Applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The SSA research and demonstration strategy for each fiscal year is publicized through central and regional office meetings, "The Federal Register", "Commerce Business Daily," issuance of grant guidelines and requests for proposals, and other appropriate means. Some funds are reserved for creative, unsolicited proposals. Applicants should maintain contact with Regional SSA offices (See Appendix IV). The standard application forms as furnished by SSA and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms are submitted to the Social Security Administration, Division of Contracts and Grants Management, OMBP, Grants Management Branch, Room 2102 West Low Rise, 6401 Security Boulevard, Baltimore, MD 21235. This program is subject to the provisions of OMB Circular No. A-110. Applicants may also submit proposals for projects not specifically identified in this announcement but which are relevant to the SSA and OCSE program goals. These proposals will be designated as nonpriority but will also be subject to the panel review process. A limited number of projects may be approved pending available funds and will compete with other nonpriority projects. Application Kits which contain the prescribed application forms and supplemental descriptive information on the priority projects of the Office of Child Support Enforcement are available from: Social Security Administration Division of Contracts and Grants Management, OMBP, Grants Management Branch, Room 2102 West

Low Rise, 6401 Security Boulevard, Baltimore, Maryland 21235, Telephone: (301) 594-0284, Lawrence H. Pullen, Chief, Grants Management Branch to be considered for a grant award, all applications must be submitted on standard forms provided by the Division of Contracts and Grants Management. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. As part of the project title (page 1 of the application Form SSA-96, item 7) the applicant must clearly indicate whether the application submitted is in response to a priority project identified in this announcement and must reference the unique project identifier (OCSE-81-1, etc.) for which the application is to compete. Applications are initially screened for relevance to the interests of OCSE. Irrelevant applications are returned to the applicant. Relevant applications are reviewed and evaluated by a rewiew panel of not less than three experts. Written assessment of each application is made.

**Award Procedure:** Official notice of approved applications is made through issuance of a Notice of Grant Award. Following approval of the applications selected for funding, financial assistance awards will be issued within limits of Federal funds available. The official award document is the Notice of Grant Award. It provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:** Established when grants and contracts are solicited by publication in the "Federal Register" for grants, and by the individual Request for Proposal for contracts. Unsolicited applications may be submitted any time. Closing dates are published in the Federal Register for grants, and in the Commerce Business Daily for contracts.

**Range of Approval/Disapproval Time:** Range from 30 to 365 days. Generally, solicited grants and contracts will be acted upon within 90 days.

**Appeals:** No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, reworking time may be allowed to prepare addenda which clarify various aspects of projects.

**Renewals:** Extensions and continuations of grants are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee must submit each year a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This is not applicable to contracts.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantees are required to share in the cost of projects. The average cost sharing is 5 percent of total project costs. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are granted on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Contracts are awarded for either the total project or on an incremental funding basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of progress and expenditures are required on all projects. Comprehensive final reports are due on or before termination dates of the projects for contracts, and not later than 60 days after termination for grants.

**Audits:** All fiscal transactions identifiable to Federal financial assistance are subject to audit by HHS audit agency.

**Records:** Proper accounting records, identifiable by grant or contract number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0412-0-1-604.

**Obligations:** (Grants) FY 81 $3,032,500; FY 82 est $2,000,000; and FY 83 est $3,500,000.

**Range and Average of Financial Assistance:** Grants and contracts range from $10,000 to $600,000. Individual project grants average about $65,000 a year. However, these figures vary with type of program.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 28 project grants and contracts were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The pamphlet "Research Grants in Social Security" Grants Administration Policies, and application kits may be obtained from the SSA Division of Contracts and Procurement, P.O. Box 7696, Gwynn Oak Branch, Baltimore, MD 21207.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Appropriate SSA Regional Commissioner (See Appendix IV for regional offices).

**Headquarters Office:** David Arnaudo, Acting Director of Division Family Assistance Studies, SSA Office of Research and Statistics (ORS), Room 2227 Switzer Bldg, 330 C Street, S.W., Washington, DC 20201. Telephone: (202) 245-8400. Henry Brehm, Research and Contracts Staff-SSA-ORS-Meadows East Bldg.; Room 2E2; 6401 Security Blvd.; Baltimore, MD. 21207. Telephone: (301) 594-0473.

**RELATED PROGRAMS:** 13.647, Social Services Research and Demonstration; 13.679, Child Support Enforcement; 13.766, Health Financing Research, Demonstrations, and Experiments; 13.808, Assistance Payments-Maintenance Assistance.

**EXAMPLES OF FUNDED PROJECTS:** (1) AFDC management improvement, (2) automation of eligibilty determinations, (3) demonstrations of fraud techniques, (4) electronic fund transfer of recipient benefits of local bank accounts, (5) case preparation and court presentation by Title IV-D agency using legal staff, (6) analysis of local Welfare Administration Office procedures, (7) community work experience program demonstrations and (8) AFDC Food Stamp Consolidation Projects.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Research or demonstration design, (2) knowledge of the field, (3) reasonableness of the proposal, (4) experience, (5) relevance to SSA and HHS priorities, (6) competence of personnel and adequacy of budget and facilities, and (7) prospects for utilization.

## 13.814 REFUGEE ASSISTANCE—STATE ADMINISTERED PROGRAMS

**FEDERAL AGENCY:** OFFICE OF REFUGEE RESETTLEMENT, SOCIAL SECURIY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** The Refugee Act of 1980; Public Law 96-212; 94 Stat. 109; 8 U.S.C. 1521.

**OBJECTIVES:** To help refugees resettle throughout the country, by funding, through designated State agencies, maintenance and medical assistance and social services for needy refugees; State agencies may purchase training and services from other providers. Assists refugees in the U.S. regardless of national orgin.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Assistance is limited to refugees as defined in the authorizing Act, supplemented by appropriate documentation from the Immigration and Naturalization Service in possession of the refugee. Federal policy governs other eligibility factors. The scope of services for which funds are available to State and local welfare and health agencies for assistance on behalf of needy refugees is similar to that in the regular domestic public assistance programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The State agency designated by the State as responsible for the Refugee Resettlement Program is eligible to receive funds for providing cash and medical assistance and social services to needy eligible refugees.

**Beneficiary Eligibility:** Refugees who meet requirements of the refugee assistance program in the State in which they reside.

**Credentials/Documentation:** Persons for whom assistance is authorized are limited to refugees in alien status, with documentation from the Immigration and Naturalization Service as to refugee status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Upon submittal of acceptable State plans, designated State agencies are eligible for Federal funds to be expended on behalf of refugees; refugees contact State or local public welfare agencies.

**Award Procedure:** Grants are made to designated State agencies. State agencies submit quarterly expenditure reports.

**Deadlines:** In accordance with 45 CFR Part 400 and other instructions to States.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Annual.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** In fiscal year 1981 the program will pay, to the extent of available appropriations, cash and medical assistance and social services provided to or on behalf of needy refugees. This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Funds are appropriated on a yearly basis. Payments to states are made through Departmental Federal Assistance Financial System (DFAFS).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly expenditure (and related statistics) reports are provided by the State agency.

**Audits:** Considered as part of regular HHS Audit Agency activity with State agencies.

**Records:** Separate financial records must be maintained by State agency for 3 years after final payment or of the time period for the particular records in Parts 1-20 of Federal Procurement Regulations, whichever expires earlier.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0473-0-1-604.

**Obligations:** (Direct payments) FY 81 $527,700,000; FY 82 est $517,900,000; and FY 83 est $471,849,000.

**Range and Average of Financial Assistance:** Depends on number of refugees in a given State, extent of financial and medical care needs among the refugees, and State standards of assistance. For the State with highest number of refugees (one-third) about $233 million was awarded for fiscal year 1981; smallest amount awarded was $125,000.

**PROGRAM ACCOMPLISHMENTS:** Approximately 565,800 refugees from Vietnam, Laos, and Cambodia were resettled throughout the United States between May 1975 and December 31, 1981. About 67 percent of those in the U.S. less than three years were receiving welfare assistance as of October 1, 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Part 400. Various materials are available on request from the Office of Refugee Resettlement, Department of Health and Human Services, Washington, DC 20201.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Principal Regional Officials, HHS Regional Offices (see Appendix IV of the Catalog).

**Headquarters Office:** Phillip N. Hawkes, Director, Office of Refugee Resettlement, Room 1332 Switzer Bldg., 330 C Street, S.W., Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 245-0418.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** English language training, employment services, health-related services, child welfare services, counseling.

**CRITERIA FOR SELECTING PROPOSALS:** Notice of the criteria for awarding funds for special project grants are published in the Federal Register.

## 13.815 REFUGEE ASSISTANCE—VOLUNTARY AGENCY PROGRAMS

**FEDERAL AGENCY:** OFFICE OF REFUGEE RESETTLEMENT, SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Refugee Act of 1980; Public Law 96-212; 94 Stat. 109.

**OBJECTIVES:** To assist Soviet and other refugees to become self-supporting and independent members of American society, by providing grant funds to voluntary resettlement agencies currently resettling these refugees in the United States. Currently, these agencies are primarily resettling Soviet-Jewish refugees.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Assistance may be used for English language training; employment counseling, job development and job placment; vocational and technical training and professional retraining; maintenance assistance and health care to needy refugees; services which facilitate employment and earnings objectives or which contribute to acculturation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grant awards are limited to those national voluntary resettlement agencies currently under contract to the Department of State to provide reception and initial placement services to the eligible recipient refugees.

**Beneficiary Eligibility:** Refugees will be determined eligible by the grantee agencies as verified by HHS monitoring.

**Credentials/Documentation:** Refugees, who arrive in the U.S. with documentation from INS as to refugee status are eligible.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication coordination is required. Contact the agency headquarters in Information contacts for more information.

**Application Procedure:** The standard forms as furnished by the Federal agency and required by OMB Circular No. A-110 must be used for this purpose.

**Award Procedure:** Eligible applicants submit a signed grant award document to HHS. This document includes the types of assistance to be provided, an estimated number of beneficiaries to be served, and the total cost of the proposed program, including the Federal and nonfederal shares. Subsequently the grantee will submit a detailed program proposal and budget to HHS. Upon approval, HHS issues grant award.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Renewals or extensions require additional appropriations.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grant awards are on a dollar-for-dollar matching basis. The non-Federal share may be cash or in-kind.

**Length and Time Phasing of Assistance:** Funds must be awarded in the fiscal year for which the appropriation was made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Program Progress Reports and Financial Status Reports are required. A final Financial Status Report and a final Program Status Report are required.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** The grantee shall maintain individual case records on all refugees counted as receiving services.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0473-0-1-604.

**Obligations:** (Grants) FY 81 $9,500,000; FY 82 est $8,600,000; and FY 83 est $11,000,000. Obligation levels for 1982 and 1983 depend on actual flow of Soviet and other refugees to the U.S.

**Range and Average of Financial Assistance:** Grant awards will range from approximately $100,000 to $6,000,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, grants totaling $9,500,000 were awarded to seven participating agencies. Approximately 9,500 refugees were provided services under these grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** All inquiries should be directed to the Information Contact listed below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Phillip N. Hawkes, Director, Office of Refugee Resettlement, Room 1332 Switzer Building, 330 C Street, S.W., DHHS, Washington, DC 20201. Telephone: (202) 245-0418.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** Grant awards are made on the basis of demonstrated successful prior experience in this activity by the applicant.

## 13.817 ENTRANT ASSISTANCE—CUBAN AND HAITIAN ENTRANTS

## (CHEP)

**FEDERAL AGENCY:** OFFICE OF REFUGEE RESETTLEMENT, SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title V of the Refugee Education Assistance Act of 1980 (Fascell/Stone Amendment), Public Law 96-422; 94 Stat. 1809.

**OBJECTIVES:** To help Cuban and Haitian entrants resettle throughout the country, by funding, through designated State agencies, maintenance and medical assistance and social services for needy Cuban and Haitian entrants. States may purchase training and services from other providers.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Assistance is limited to Cubans and Haitians as defined in the authorizing Act, supplemented by appropriate documentation from the Immigration and Naturalization Service in possession of the Cuban or Haitian. Federal policy governs other eligibility factors. The scope of services for which funds are available to State agencies for assistance on behalf of needy Cuban and Haitian entrants is similar to that in the Refugee Resettlement Program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The State agency designated by each State as responsible for the Cuban/Haitian Entrant Program is eligible to receive funds for providing cash and medical assistance and social services to needy eligible Cuban and Haitian entrants.

**Beneficiary Eligibility:** Cuban and Haitian entrants who meet requirements of the Cuban/Haitian Entrant Program in the State in which they reside.

**Credentials/Documentation:** Persons for whom assistance is authorized are limited to Cuban and Haitian entrants, with documentation from the Immigration and Naturalization Service as to the status allowed under Title V of the Refugee Education Assistance Act of 1980.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Upon submittal of acceptable State plans, State agencies are eligible for Federal funds to be expended on behalf of Cuban and Haitian entrants; Cuban and Haitian entrants contact State or local public welfare agencies.

**Award Procedure:** State agencies submit quarterly expenditure reports. Grants are made to State agencies.

**Deadlines:** In accordance with Cuban/Haitian Entrant Program instructions to States.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Annual.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For FY 1981, the program will pay, to the extent of available appropriations, cash and medical assistance, and social services provided to or on behalf of needy Cuban and Haitian entrants.

**Length and Time Phasing of Assistance:** Funds are appropriated on a yearly basis. Payments to States are made through the Departmental Federal Assistance Financial System (DFAFS).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly expenditure (and related statistics) reports are submitted by the State agency.

**Audits:** Considered as part of the regular HHS Audit Agency activity with State agencies.

**Records:** Separate financial records must be maintained by the State agency for 3 years after final payment or of the time period for the particular records in Parts 1-20 of Federal Procurement Regulations, whichever expires earlier.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0175-0-1-604.

**Obligations:** FY 81 $141,500,000; FY 82 est $70,200,000; and FY 83 est $17,300,000.

**Range and Average of Financial Assistance:** Level of assistance is dependent upon the number of Cuban and Haitian entrants in a given State, extent of financial and medical care needs among the Cuban and Haitian entrants, and State standards of assistance. For States with the highest number of Cuban and Haitian entrants, about $60,900,000 was awarded for fiscal year 1981; smallest amount awarded was $50,000. Thirty-two States participate in the program.

**PROGRAM ACCOMPLISHMENTS:** As of January 31, 1981, 11,720, or 95.8 percent of Haitians who entered the U.S. and were immediately processed had been resettled. As of June 30, 122,018, or 97.7 percent of the Cuban entrants who entered the U.S. had been settled. Florida has been the resettlement site for over 73 percent of all Cuban entrants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Various materials are available on request from the Office of Refugee Resettlement, Department of Health and Human Services, Washington, DC 20201.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Principal Regional Officials, HHS Regional Offices, (see Appendix IV).

**Headquarters Office:** Phillip N. Hawkes, Director of Office of Refugee Resettlement, Room 1332, Switzer Building, 330 C Street, S.W., Department of Health and Human Services, Washington, DC 20201, Telephone: (202) 245-0418.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** English language training, Employment service.

**CRITERIA FOR SELECTING PROPOSALS:** Notice of the criteria for awarding funds for special project grants are published in the Federal Register.

## 13.818 LOW-INCOME HOME ENERGY ASSISTANCE

**FEDERAL AGENCY:** SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Low-Income Home Energy Assistance Act of 1981, Title XXVI, Section 2602(a), as enacted by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To make funds available to States to assist eligible households to meet the costs of home energy.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Money payments or vouchers by States made directly to an eligible low-income household or, on behalf of such household, or to an energy supplier for the cost of home energy. Up to 10 percent of these funds are for State planning and administering the activities related to this program. Up to 15 percent may be used for weatherization.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All States, the District of Columbia, Indian Tribal governments which request direct funding, Puerto Rico, the Virgin Islands, Guam, American Samoa, Northern Mariana Islands and the Trust Territories of the Pacific Islands may receive direct grants. The State or Tribe must submit an application.

**Beneficiary Eligibility:** Households with income which does not exceed the greater of 150 percent of the poverty level or 60 percent of the State median income, and households with members eligible for AFDC, SSI, Food Stamps or certain income tested veterans' benefits. Some of these categorically eligible households are excluded because of living arrangements. States are not required to make payments to all federally eligible households.

**Credentials/Documentation:** The chief executive officer of the State, Tribe or Territory must certify thirteen assurances required by law. Households must meet State eligibility requirements. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Requirements for applications are set out in Section 2605 of the authorization. There is no format for applications. States may contact Social Security Administration (SSA) Regional Offices for assistance.

**Application Procedure:** Applications are submitted by the chief executive officer of the State, or by the governing organization or an Indian Tribe. Applications contain assurances prescribed by law and a plan describing how the assurances will be carried out. Households wishing to apply for benefits should contact the local welfare agency or community action agency for information regarding the agency administering the program.

**Award Procedure:** Grants are made upon receipt of a complete plan by the Office of Family Assistance Headquarters Office.

**Deadlines:** No deadline was set for receipt of State applications. For FY 1983 and FY 1984, Tribal applications must be submitted by September 1 of the year before the year for which the funds are sought.

**Range of Approval/Disapproval Time:** The Department will act on the plans submitted as quickly as possible.

**Appeals:** States may request a hearing before the Grant Appeals Board regarding withholding of funds under Section 2608 of the authorization.

**Renewals:** State application may be revised.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There is no requirement for matching Federal funds with State funds. Up to 10 percent of the State allotment may be claimed for planning and administration of the program. See funding agency for further details.

**Length and Time Phasing of Assistance:** Grant awards are made to States with completed plans for carrying out the program on an as-needed basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A report on the number and income level of the households served must be submitted annually.

**Audits:** An annual audit of State programs must be carried out by an independent agency.

**Records:** Proper grant accounting records must be maintained.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0420-0-1-500.

**Obligations:** (Grants) FY 81 $1,760,000; FY 82 est $1,875,000 (includes $123,000,000 for supplemental appropriation); and FY 83 est $1,300,000,000 (includes proposed consolidation of energy and emergency assistance programs into a single block grant.)

**Range and Average of Financial Assistance:** For fiscal year 1981, benefits to households to offset heating and/or cooling costs were made up to the prescribed amount of $750. In some cases, States were eligible to apply for waivers to exceed this amount, depending upon the justifiability of need, energy costs of the affected area and extreme or emergency weather conditions. The average benefits made by State, Indian Tribal governments or organizations for fiscal year 1981 was $225.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 7,500,000 households were served by the States, Indian Tribal governments and organizations and the Territorial governments or the appropriate designated entities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 96 Federal Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals needing assistance should contact the local administering agencies. States should contact the Regional Offices (See Appendix IV of this Catalog).

**Headquarters Office:** Office of Family Assistance, Office of Intergovernmental Communications, Social Security Administration, Department of Health and Human Services, Transpoint Building, 2100 Second Street, S.W., Washington, DC 20201. Telephone: (202) 245-2736.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.820 SCHOLARSHIPS FOR FIRST-YEAR STUDENTS OF EXCEPTIONAL FINANCIAL NEED (EFN Scholarship)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title VII, Section 758; as amended by Public Law 97-35; 42 U.S.C. 2942.

**OBJECTIVES:** To make funds available to authorized health professions schools to award scholarships to full-time first-year health professions students of exceptional financial need.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds to U.S. and Puerto Rico Health Profession Schools to provide financial assistance to first-year, full-time students of exceptional financial need. Scholarships awarded without a service or financial obligation, in order to encourage those needy students who might otherwise be reluctant to do so, to pursue a career in one of the specified health professions. Limited to first-year students.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited Public or nonprofit private schools of Medicine, Dentistry, Osteopathy, Podiatry or Veterinary Medicine. Cost data may be obtained from NHSC scholarship program.

**Beneficiary Eligibility:** Student, must be a citizen or National of the United States or intend to become a permanent resident of the United States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, or the Commonwealth of the Northern Mariana Islands. Must be accepted by a Health Professions School for enrollment as a full-time student in the first year of study. Must provide to the Financial Aid Director total financial information including information on parent's income, regardless of the student's taxable status, and must be of "exceptional financial need" as defined by the Secretary and identified by the Financial Aid Director.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Health professions schools apply annually to the Health Services Administration for renewal of their agreement to participate in this scholarship program. Students apply to the Financial Aid Office at their respective school. Consultation and technical assistance is provided to institutions wishing to apply.

**Application Procedure:** Health professions schools submit the required application form. This application contains: the starting and ending dates of the school year for the first year class; the number of eligible recipients in the order of students with the greatest need and identification number; a description of the procedures used to evaluate the financial status of student applicants, and to select those who are eligible for scholarship awards.

**Award Procedure:** Based upon the availability of funds, notice of awards are issued to the schools which in turn select and issue the awards to the eligible students. Recipients currently receive a stipend of $530 per month for 12 months and payment of tuition, fees, and other reasonable educational costs. The stipend amount is adjusted annually to reflect cost-of-living expenses in Federal salaries.

**Deadlines:** Schools must apply by July 1 preceding the academic year in which support is to be provided to students.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** Not applicable.

**Renewals:** Individual student scholarships are not renewable. Participating schools reapply to the program for continuing financial support on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** 1 year per scholarship award.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Report recipient's name, address, amount awarded and end date of first year as well as report on program expenditures. Submit "Financial Status Report".

**Audits:** Proposed in compliance with 45 CFR 74.

**Records:** Maintain records of the amount of funds awarded to each recipient and a copy of the total need analysis and determination of resources.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $10,000,000; FY 82 est $4,700,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Average $14,500 a year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 294 health professions schools received scholarship funds which were awarded to 725 first-year students who will attend school in academic year 1981-82.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Published as Final Regulations, June 16, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Bureau of Health Personnel Development and Service, Health Services Administration, PHS, DHHS, Center Building, Rm. 9-50 3700 East-West Highway, Hyattsville, Maryland 20782. Contact: Michael Heningburg, Telephone: (301) 436-7430.

**RELATED PROGRAMS:** 13.288, National Health Service Corps Scholarship Program; 13.342, Health Professions—Student Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.821 PHYSIOLOGY AND BIOMEDICAL ENGINEERING

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301(c) and Section 444; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289g. Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 2891-1.

**OBJECTIVES:** To acquire new knowledge and understanding of biologic function at the organ and organismic levels; to develop new instruments and methods to facilitate research in any of the Institute's programs; to support research training of a sufficient number of potential investigators in order to meet the program's research objectives.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The research project grant is awarded to an eligible institution in the name of a principal investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds are used for salaries and wages, equipment, supplies, travel and other costs directly required to carry out the research project. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is subject to certain service and payback provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available upon request from the Division of Research Grants, Bethesda, MD 20205.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research projects: Any public or private nonprofit university, college, hospital, laboratory, or other institution, including States and local units of government, or to any individual. To be eligible for funding, any proposal must first receive favorable recommendations from a scientific review committee and a National Advisory Council. Nonfederal public and private nonprofit domestic organizations may apply for an institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, supplies, etc., are appropriate to carry out the plan. Use grant application Form PHS 398 provided by Division of Research Grants, National Institutes of Health. For applicants for NRS Awards, the academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation of program staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. Except for unsolicited proposals, individual requirements are published as part of the procurement announcement.

**Application Procedure:** Application forms and information concerning the areas of science being supported may be obtained from the Division of Research Grants, NIH, Bethesda, MD 20205, and be submitted to the same address for assessment by a scientific review committee. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** All accepted applications for project grants and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by a National Advisory Council. (Individual NRSA applications are not reviewed by Council). All approved applications will compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year.

**Deadlines:** July 1 or November 1 for new research projects. Deadlines for National Research Service Awards are indicated in the instructions.

**Range of Approval/Disapproval Time:** Approximately 6 to 9 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewal grants are made prior to expiration of any current award.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** National Research Service Awards -- none. Research projects, by law, require sharing of costs by grantee institution as negotiated individually.

**Length and Time Phasing of Assistance:** All awards are made for 1 year, with additional support (up to 4 years) depending on recommendation of Advisory Council, successful annual performance, and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and fiscal expenditure reports for continuing projects and, final reports on all projects upon conclusion. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:** Grants are subject to inspection and audit by HHS representatives in accordance with NIH and DHHS policies and procedures.

**Records:** Records must be maintained for each award period and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0851-0-1-550.

**Obligations:** (Grants) FY 81 $44,643,000; FY 82 est $41,451,000; and FY 83 est $39,912,000.

**Range and Average of Financial Assistance:** $5,040 to $1,342,000; $92,000.

**PROGRAM ACCOMPLISHMENTS:** A total of 467 research grants, centers, National Research Service Awards, and training awards were funded in 1981. A total of 341 new and competing renewal applications were received during 1981 and 103 new or competing applications were funded. Research includes the development of support on ultrasonic imaging systems and micro-electronic instrumentation, improved methodologies of basic mechanism of action of anesthesia, and metabolic and nutritional control of patients after trauma and burns. A total of 341 research grants, centers, National Research Service Awards, and Training Grants will be funded in fiscal year 1982, and 328 grants and fellowship and one contract will be funded in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; NIH Extrumual Programs Brochure. Miscellaneous program literature from Headquarters Office. PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. Leo Von Euler, Acting Director (Physiology and Biomedical Engineering), National Institute of General Medical Sciences, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7891. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.371, Biotechnology Research; 13.843, Restorative Materials Research; 13.844, Pain Control and Behavioral Studies; 13.853, Clinical Research; 13.863, Cellular and Molecular Basis of Disease Research.

**EXAMPLES OF FUNDED PROJECTS:** "Molecular Sieve Chromatography of Interacting Proteins", "Resonance Raman Probe Studies of Flavoproteins", "Ultrasonic Propagation Properties on Intact Tissue", "Molecular Mechanism of Local Anesthetic Action", and "Release of Injurious Constituents from Cells".

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach ; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.822 HEALTH CAREERS OPPORTUNITY PROGRAM

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Services Act, as amended by Title VII, and Public Law 97-35, Section 787; 42 U.S.C. 295g-8.

**OBJECTIVES:** To identify, recruit, and select individuals from disadvantaged backgrounds for education/training in a health or allied health professional school. To facilitate their entry into such a school. To provide counseling or other services designed to assist such individuals to successfully complete their education/training at such a school. To provide, for a period prior to entry into the regular course of education, preliminary education designed to assist them to complete successfully such regular course of education, or refer such individuals to institutions providing such preliminary education. To publicize existing sources of financial aid.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Section 787 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may not be used for tuition and fees, training of program staff or retraining of health professionals, sectarian instruction, religious purposes, construction, land acquisition, or foreign travel. JOINT FUNDING: This program is considered suitable for joint funding with closely related federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult with the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Health Professions Schools and public or nonprofit private health or educational entities. Section 787 includes schools or medicine, osteopathy, public health, dentistry, veterinary medicine, optometry, pharmacy, podiatry and allied health and other public or private nonprofit health or educational entities.

**Beneficiary Eligibility:** An individual will be determined to come from a "disadvantaged background" where the individual comes from an environment that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the U.S. Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and technical assistance available from HRA Regional and Central Office staff. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for applicants that are State and local governments.

**Application Procedure:** Application kits may be obtained from the Grants Management Officer, Bureau of Health Professions, HRA, Center Bldg., Rm. 4-27, 3700 East-West Highway, Hyattsville, MD 20782. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded, indicating: (1) title of program; (2) the period for which support has been recommended for approval (the project period); (3) the amount awarded for the current year of the project period; and, budget period (4) the amount projected for the support in each of the remaining years of the project period. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** FY 1982 competitive applications (new, competing continuation, supplemental) must be received by the grants management officer postmarked no later than December 11, 1982.

**Range of Approval/Disapproval Time:** From 4 to 6 months.

**Appeals:** None.

**Renewals:** Continuation applications must be submitted each year beginning with the second year of support. Total project periods may not exceed 3 years. Competitive renewals may be submitted during the terminal year of support.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not less than 80 percent of the funds appropriated in any fiscal year shall be obligated for grants or contracts to institutions of higher education and not more than 5 percent of such funds may be obligated for grants and contracts having the primary purpose of informing individuals about the existence and general nature of health careers.

**Length and Time Phasing of Assistance:** Projects may be supported up to 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and financial status reports are required. A terminal report is required at the end of the grant period.

**Audits:** Must be conducted biennially by an independent certified accountant, and filed with the Grants Management Officer within 180 days after the end of each budget period.

**Records:** The grantee must establish and maintain records which the Secretary may by regulation or order require.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $19,568,000; FY 82 est $16,882,000; and FY 83 est $17,240,000.

**Range and Average of Financial Assistance:** $14,331 to $491,496; $122,418.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 281 competitive applications and 47 continuations were received, 155 projects and one procurement project were funded. In fiscal year 1982, it is projected that 130 continuation projects will be funded, and no new projects will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Guide. Final regulations published November 4, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administration in the DHHS Regional Office (see Appendix IV of the Catalog for listing).

**Headquarters Office:** Grants Management Office, Bureau of Health Professions, Health Resources Administration, Center Bldg., Rm. 4-27, 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-6564. For questions regarding the programmatic aspects of these grants contact: Director, Division of Program Coordination, Office of Health Resources Opportunity, Health Resources Administration, Center Bldg., Room 10-50, 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-7230.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Summer and Academic year projects at U.S. universities for recruitment, retention, reinforcement, preliminary education, and publicizing existing sources of financial aid.

**CRITERIA FOR SELECTING PROPOSALS:** Project proposals are evaluated on the basis of: 1) Relationship of the proposed project to the objectives stated in the legislative authorization. 2) The number and types (ethnic/racial background, sex, residential area and educational level) of individuals who can be expected to benefit from the project. Use the following racial/ethnic breakdown: Black, Hispanic, American Indian or Alaska Native, Asian American or Pacific Islander, economically disadvantaged white, and women or men, if they are in the minority for a specific profession. 3) The administrative and managerial ability of the applicant to carry out the project successfully. 4) The soundness of the fiscal plan for assuring effective utilization of grant funds. 5) Institutional or organizational commitment through detailed plan of applicant for phasing in other continuation support (after end of this Federally funded project period) with timetable and the level of financial support. 6) Evidence of coordination of program activity within institutions/organizations resulting in the submission of a single application whenever possible, e.g., a program developed by a school of medicine, dentistry, and pharmacy of the same institution who are in close proximity. 7) Relative merit of the project specifically based on the following: a. Identification of specific, measurable objectives for the project that are consistent with the legislative purposes. b. Description of the content of the proposed project as it relates to the stated objectives. c. Description of specific methodology (techniques) designed to accomplish stated objectives. d. Description of a comprehensive evaluation plan for the proposed project, for ongoing projects, the degree to which the defined objectives have been met. e. Realistic estimation and representation of the number and types of participants in the project coming from disadvantged groups as it relates to the applicant's service area. f. Satisfactory evidence of adequately qualified staff, equipment, facilities, and other resources necessary to carry out the proposed project. 8) Budgetary analysis to determine cost effectiveness of the proposed project. 9. Previous institutional commitment in each proposed project area (track record). In addition to these criteria, consideration is given to an equitable geographic distribution of projects, and the assurance that a combination of all funded projects represent the professions specified in the legislation.

## 13.823 PRIMARY CARE RESEARCH AND DEMONSTRATION PROJECTS

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, BUREAU OF COMMUNITY HEALTH SERVICES, OFFICE FOR RURAL HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Section 340, Public Health Service Act, as enacted by Public Law 95-626, Section 115, 42 U.S.C. 256, and as amended by Public Law 96-142, Section 301, 42 U.S.C. 241, 242b, 242c. Public Law 97-35, Section 903(c) repealed Section 340 of the Public Health Service Act effective October 1, 1982.

**OBJECTIVES:** To demonstrate new and innovative methods for providing primary health services and dental services to medically underserved populations and to conduct research on such new and innovative methods or on existing methods.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded to demonstrate and conduct research on: (1) methods of attracting and retaining primary care physicians, dentists, physician assistants, nurse practitioners and other health professionals, both individually and as teams, to train and practice among medical underserved populations; (2) differing types of organizational models and relationships, including federations of health service centers, designed to meet unique primary health and dental health service needs; (3) management and technological improvements (including new or improved methods for biomedical communication and medical and financial recordkeeping and billing systems) to increase the productivity, effectiveness, efficiency, and financial stability of primary health and dental health service providers; (4) methods of providing health promotion, disease prevention, and health education programs, including school health programs; (5) methods of identifying, coordinating, and integrating existing primary health and dental health service programs with mental health and social service programs to maximize use of available resources, avoid ducplication of effort, and ensure a coordinated, comprehensive care system; (6) specific services or mixtures of services appropriate for a given area, including ambulatory care, home health care, environmental health services, community outreach activities, transportation services and other supplemental health services; (7) the effect of availability of primary health and home health services in terms of reduction of emergency room visits, hospitalizations, and institutionalization in long term care facilities; (8) the use of mobile health screening clinics to provide preventive health care services to meet the needs of medical underserved populations; and, (9) such other projects as the Secretary determines to be necessary to further the purposes of this section. Grants awarded under section 340 may not be used to fund activities having as their primary purpose the delivery of health and dental services. However, such activities may be used as a base for demonstrating new delivery modes or conducting research on delivery modes. Also, grants and contracts may not be awarded under Section 340 for activities which can be carried out under any other provisions of the Public Health Service Act other than Sections 301, 304 or 305. Activities may involve either rural or urban areas; however, the major emphasis of the program is on rural areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants may be public or private entities. This would include, but is not limited to, entities which provide health and dental services; health related organizations or associations; city, county, and State governments; school systems and institutions of higher education. PHS policy requires that grants be awarded only to nonprofit entities.

**Beneficiary Eligibility:**

**Credentials/Documentation:** Applicants should present written evidence of their capability to undertake community based demonstrations and research as distinguished from bench research or the demonstration of single purpose sophisticated technology. Written evidence of other agencies willingness to cooperate must be submitted when a proposal involves their cooperation or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Primary Care Research and Demonstration strategy for each fiscal year is publicized through Central and Regional Office meetings; issuance of program guidance and other appropriate means. Applicants should maintain contact with DHHS Regional Offices. Application forms for health services used by Public Health Service (PHS) (PHS 5184) and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). In accordance with Section 1513(e) of the Public Health Service Act, these projects are subject to HSA review.

**Application Procedure:** Applications for Primary Care Research and Demonstration Projects are submitted to appropriate DHHS Regional Health Administrators. The Regional Office will supply an application kit containing detailed information regarding the application process and application forms and instructions regarding State A-95 and Health System clearances. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Following approval by the Regional Health Administrator, the Regional Grants Management Office prepares a Notice of Grant Award, secures necessary clearances and approval signatures, issues the Notice of Grant Award, enters the approved award in the grant payment process, and provides notification of grant approval to the public as well as the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Contracts are announced in the "Commerce Business Daily".

**Deadlines:** The DHHS Regional Office will be able to inform applicants of the exact number of copies of the application to be submitted and the deadline for submission.

**Range of Approval/Disapproval Time:** Range from 30 to 180 days.

**Appeals:** No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, reworking time may be allowed to prepare revisions which clarify various aspects of projects.

**Renewals:** Extension and continuation of grants are available if formally applied for and approved. Grantees eligible for continuations will be notified by the DHHS Regional Offices the due dates in which applications are due in Regional Offices.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Grants are funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Contracts are awarded for either the total project or on an incremental funding basis. Project periods will be limited to a maximum of 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of progress and expenditures are required on all projects. Comprehensive final reports are due on or before termination dates of the projects for contracts, and not later than 90 days after termination for grants.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the record shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-550.

**Obligations:** (Grants) FY 81 $3,422,000; FY 82 est $1,900,000; and FY 83 est $0. (Note: The authorization for this program has been repealed effective October 1, 1982.)

**Range and Average of Financial Assistance:** $20,000 to $433,000; $150,000.

**PROGRAM ACCOMPLISHMENTS:** Thirty-nine research and demonstration activities are ongoing. No new activities are projected under the estimated fiscal year 82 obligations. Program activity for fiscal year 82 depends upon action by the Congress.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guidelines for the Primary Care Research and Demonstration Projects Program may be obtained from DHHS Regional Offices (see Appendix IV of the Catalog for Regional Offices).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Appropriate DHHS Regional Health Administrator (see Appendix IV of the Catalog for regional offices).

**Headquarters Office:** Jeffrey Human, Associate Bureau Director, Program Office for Rural Health, Bureau of Community Health Services, Room 7A55, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 443-2220 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.256, Health Maintenance Organizations; 13.714, Medical Assistance Program; 13.773, Medicare-Hospital Insurance; 13.774, Medicare-Supplementary Medical Insurance.

**EXAMPLES OF FUNDED PROJECTS:** The effectiveness of statewide linkages between primary care physicians and local mental health resources; The innovative uses of a dispersed group practice; The evaluation of particular characteristics affecting deployment and retention of physicians and mid level health professionals in a rural medically underserved area and the demonstration of implementing remedies through local coordinators; A cooperative consortium of Federal, State, and local interests serving as the catalyst to identify areas of health care need, to develop solutions and to implement remedies; A health education program emphasizing self-care and appropriate use of the health care system implemented through community and professional volunteers and local school systems.

**CRITERIA FOR SELECTING PROPOSALS:** 1) The potential of the inquiry, hypothesis, and design for demonstrating or researching new and innovative methods of service delivery or existing methods which would benefit medically underserved populations; 2) The potential for demonstrating or researching one or more of the 9 areas described in section 340; 3) The potential for replicating the product of the research or demonstration to benefit similar populations or service delivery modes; and 4) For proposals which utilize entities which provide health or dental services: the demonstrated commitment of those entities to serve medically underserved populations and the soundness of the entities' financial management.

## 13.824 AREA HEALTH EDUCATION CENTERS (AHEC)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND Human Services.

**AUTHORIZATION:** Section 781 of the Public Health Service Act; Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To improve the distribution, supply, quality, utilization and efficiency of health personnel in the health service delivery system and for the purpose of increasing the regionalization of educational responsibilities of health professional schools.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Cooperative Agreements may not be used for construction, patient services, and student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An accredited public or nonprofit school of medicine or osteopathy, or a consortium of such schools, or the parent institution on behalf of such schools.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For existing schools: accredited by a recognized body approved for such purposes by the Secretary of Education: For new schools: a letter of reasonable assurance of accreditation from the Secretary of Education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Central Office staff.

**Application Procedure:** Submit applications in accordance with instructions specified in the application kits which may be be obtained from the Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing, Notice of Award will be issued from Headquarters Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions.

**Range of Approval/Disapproval Time:** From 3 to 4 months.

**Appeals:** Appeal available only to recipients.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. The recipient shall participate in the cost of the project such that of funds awarded under Section 781, the matching funds shall be at least 25 percent from non-Federal sources for each year of the project.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during appropriate budget period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A progress report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period.

**Audits:** Recipients are subject to inspection and fiscal audit by persons designated by DHHS.

**Records:** Financial records must be kept available for 3 years after submission of expense report and three years after final disposition of nonexpendable property. If questions remain such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $21,000,000; FY 82 est $18,240,000; and FY 83 est $13,920,000.

**Range and Average of Financial Assistance:** $223,000 to $5,700,000; $1,049,157.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 19 ongoing projects were supported. Several projects have multiple years involved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Interim Final Regulations published in the Federal Register on 11/27/78.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director Division of Medicine, Bureau of Health Professions, HRA, PHS, DHHS, Center Bldg., 3700 East-West Highway, Room 3-22, Hyattsville, MD 20782. Program Contact: Dr. Kenneth Moritsugu, Telephone: (301) 436-6418. Grants Management Contact: J. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** All projects are funded to meet the objectives as stated above.

**CRITERIA FOR SELECTING PROPOSALS:** In determing funding of applications, consideration is given to the overall relative technical merit of the application; the extent for which substantial opportunities for the education of individuals from minority or low-income backgrounds is provided; overall relative cost to the Government including the number of proposed centers to be involved; annual program cost share from non-Federal sources; and the size of population to be served.

## 13.837 HEART AND VASCULAR DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 412; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 287 a. Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 l-1.

**OBJECTIVES:** To foster research and prevention, education and control activities related to heart and vascular diseases and to develop young science investigators in these areas.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards are made directly to individuals for research training in specified shortage areas. Grants may be made to institutions to enable them to make NRS awards to individuals selected by them. Certain service and pay back provisions apply to individuals upon termination of the award.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any nonprofit organization engaged in biomedical research may apply for grant support. Institutions or companies organized for profit may now apply for grants and contracts with the exception of NRS awards. An individual may apply for a NRS award or, in some cases, for a research grant if he has adequate facilities in which to perform the research.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with HHS Regulations CFR 45 Part 74, Subpart Q. Appendix C or that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Staff advice is available upon request. Application forms (PHS-398) are normally available at the application control office of grantee institutions. Forms for individual NRS award applications may be obtained from: Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205. For research grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government.

**Application Procedure:** Applications are submitted on designated forms to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung and Blood Institute, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants.

**Deadlines:** July 1 and November 1 for new research grants or as specified in Request for Applications (RFA) announcements.

**Range of Approval/Disapproval Time:** 7 to 9 months for regular grants; 3 to 4 months for special grants.

**Appeals:** Applications may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** By application and review in same manner as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Current legislation requires that the grantee share a nominal portion of the total costs on grants. Cost-sharing agreements are negotiated with each grantee. This program has no statutory formula.

**Length and Time Phasing of Assistance:** One to 5 years may be recommended by the Advisory Council. Funding commitments are made annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:** Institutions regularly accepting grants are audited every 2 to 4 years. Special audits may be requested by the awarding component.

**Records:** All fiscal records must be held for at least 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0872-0-1-550.

**Obligations:** (Grants) FY 81 $257,985,000; FY 82 est $270,485,000; and FY 83 est $275,033,000.

**Range and Average of Financial Assistance:** $5,000 to $4,600,581; $130,139.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,676 research grants, and 308 National Research Service Awards were awarded. The estimates for fiscal year 1982 are 1,630 research grants, and 309 National Research Service Awards. The estimates for fiscal year 1983 are 1,642 research grants, and 261 National Research Service Awards. In fiscal year 1981, for new and competing renewal awards: 1,635 grant applications were received, and of these 542 were awarded; 167 National Research Service Award applications were received, and of these 108 were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; "NIH Guide for Grants and Contracts, and

Supplements," and PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Division of Heart and Vascular Diseases, National Heart, Lung, and Blood Institute, Bethesda, MD 20205. Telephone: (301) 496-2553 (Use same 7 digit number for FTS). Contact: Dr. William Zukel, Associate Director for Scientific Programs, Telephone: (301) 496-5656.

**RELATED PROGRAMS:** 13.838, Lung Diseases Research; 13.839, Blood Diseases and Resources Research.

**EXAMPLES OF FUNDED PROJECTS:** A research project grant for Intrarenal Electrolyte Metabolism - This project has the long term goal of characterizing intrarenal electrolyte metabolism and deals primarily with glomerular dynamics and the control of sodium excretion. The experimental animals are the dog, cat, and rat. A project grant for Cardiac Electrophysiology - The theme of this program is the application of cardiac electrophysiology to improved recognition and management of heart disease. Serveral inter-related projects and investigators plan and execute multidisciplinary studies in the fields of internal medicine, pediatric cardiology, biophysics, engineering and cardiovascular surgery. A center grant for a Specialized Center of Research in Hypertension - The program encompasses a series of studies on neurohumoral interactions in the etiology and maintenance of hypertension. The involved projects are studies of the renin-mineralcorticoid system in hypertension, studies of renal function and electrolyte metabolism in hypertension, genetic and social-psychologic studies of the physiology of essential and secondary hypertension, and role of the sympathetic nervous system in hypertension. An individual National Research Service Award for an Investigation of Marfan Syndrome - During the three years of this fellowship, the investigator plans to study the effect of propranolol on the amelioration of the course of the cardiac complications of marfan syndrome. Patients will receive two dimensional echocardiography to evaluate the status of the aortic and mitral valve.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.838 LUNG DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 412; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 287 a; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 1-1.

**OBJECTIVES:** To use available knowledge and technology to solve specific disease problems of the lungs. To promote further studies on the structure and function of the lung. To achieve improvement in prevention and treatment of lung diseases.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRS Awards to individuals selected by them. Certain service and pay back provisions apply to individuals upon termination of the award.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any nonprofit organization engaged in biomedical research may apply for grant support. Institutions or companies organized for profit may now also apply for grants and contracts with the exception of NRS awards. An individual may apply for a NRS award or, in some cases, may qualify for a research grant if he has adequate facilities in which to perform the research.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree), and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Staff advice is available upon request. Application forms are (PHS-398) normally available at the application control office of grantee institutions. Forms for individual NRS award applications may be obtained from: Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Md. 20205. For research grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government.

**Application Procedure:** Applications are submitted on designated forms to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants.

**Deadlines:** July 1 and November 1 for new research grants as specified in Request for Applications (RFA) for special grants.

**Range of Approval/Disapproval Time:** 7 to 9 months for regular grants; 3 to 4 months for special grants.

**Appeals:** Applications may be reviewed and resubmitted. Additional time review 6 to 9 months.

**Renewals:** By application and review in the same manner as for new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Current legislation requires that the grantee share a nominal portion of the total costs on grants. Cost-sharing agreements are negotiated with each grantee. This program has no statutory formula.

**Length and Time Phasing of Assistance:** One to 5 years may be recommended by the Advisory Council. Funding commitments are made annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** All records must be held by grantee for at least 3 years whether audit was performed or not.

**Records:** All fiscal records must be held for at least three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0872-0-1-550.

**Obligations:** (Grants) FY 81 $75,645,000; FY 82 est $77,746,000; and FY 83 est $80,948,000.

**Range and Average of Financial Assistance:** $5,000 to $1,315,350; $113,073.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 585 research grants, and 84 National Research Service Awards were awarded. The estimates for fiscal year 1982 are 583 research grants, and 82 National Research Service Awards. The estimates for fiscal year 1983 are 564 research grants, 69 National Research Service Awards. In fiscal year 1981, for new and competing renewal awards: 608 grant applications were received, and of these 186 were awarded; 60 National Research Service Award applications were received, and of these 20 were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74;, "NIH Guide for Grants and Contracts, and Supplements," and PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Division of Lung Diseases, National Heart, Lung, and Blood Institute, Bethesda, MD 20205. Telephone: (301) 496-7208 (Use same 7-digit number for FTS). Contact: Marlyn Harrison, Administrative Officer.

**RELATED PROGRAMS:** 13.837, Heart and Vascular Diseases Research; 13.839, Blood Diseases and Resources Research.

**EXAMPLES OF FUNDED PROJECTS:** A research project grant for Lung Oxidative Metabolism and Energy Production - This individual research grant supports a basic scientific study to investigate pathways for suhbstrate uptake, metabolism and energy utilization by the lung parenchyma. Defense mechanisms used to protect the lung against toxic agents are also under investigation. A program project for the Physiological Basis of Pulmonary Disease - This multidisciplinary program includes senior scientists with expertise in pulmonary medicine, physiology, bioengineering, and mathematics conducting six individual research projects all closely related to a central theme. A center grant for a Specialized Center of Research in Pulmonary Fibrosis - The goal of this multidisciplinary Specialized Center of Research is to study the pathogenesis and improve the diagnosis and treatment of pulmonary fibrosis. Specific research programs range from basic biochemical, cellular and physiologic approaches to characterize the etiology of pulmonary fibrosis to extensive clinical evaluation, pulmonary function testing and pathology of patients with this disorder. An individual National Research Service Award for the Role of Proteolysis in Emphysema and Pulmonary Tissue Injury-The goal of this individual fellowship award is to acquire the theoretical and technical expertise to study cellular responses to lung injury. This initial research effort, conducted in a laboratory with recognized experience in biochemical and cellular aspects of lung injury and repair, is complemented by seminars, tutorials and research conferences.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.839 BLOOD DISEASES AND RESOURCES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 412; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 287 a; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 1-1.

**OBJECTIVES:** To further the development of blood resources and coordinate national and regional activities of blood centers. To promote research on blood diseases including Sickle Cell Disease and develop new scientists for such research.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. Contracts are negotiated to cover items of expense necessary to perform research specified in request for proposals (RFP). National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRS awards to individuals selected by them. Certain service and pay back provisions apply to individuals upon termination of the award.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any nonprofit organization engaged in biomedical research may apply for grant or contract support. Institutions or companies organized for profit may now apply for grants and contracts a with the exception of NRS awards. An individual may apply for a NRS award or, in some cases, may qualify for a research grant if he has adequate facilities in which to perform the research.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D, D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Staff advice is available upon request. Application forms (PHS-398) are normally available at the application control office of grantee institutions. Forms for individual NRS award applications may be obtained from: Office of Research Manpower, Division of Research Grants, NIH, BETHESDA, MD 20205. For Research Grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State and local units of government.

**Application Procedure:** Applications are submitted on designated forms to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, Bethesda, MD 20205. Contract proposals are submitted to the Institute also. This Program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Fellowship and contract applications have a secondary review by the staff of the Institute. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparations of awards for grants, or the contracting officer will start negotiations on contracts.

**Deadlines:** July 1 and November 1 for new grants or as specified in Request For Applications (RFA) and Request for Proposals for contracts.

**Range of Approval/Disapproval Time:** 7 to 9 months for regular grants; 3 to 4 months for special grants.

**Appeals:** Applications may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** By application and review in the same manner as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Current legislation requires that the grantee share a nominal portion of the total costs on grants. Cost-sharing agreements are negotiated with each grantee. This program has no statutory formula.

**Length and Time Phasing of Assistance:** One to 5 years may be recommended by the Advisory Council. Funding commitments are made annually. Research and Development Contracts are negotiated on a cost reimbursement or a cost reimbursement plus fixed fee basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports are required on progress and expenditures. Final reports are required with 120 days of termination. Additional reports may be requested on contracts. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Institutions regularly accepting grants are audited every 2 to 4 years. Special audits may be requested by the awarding component.

**Records:** All records must be held for at least 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0872-0-1-500.

**Obligations:** (Grants) FY 81 $71,960,000; FY 82 est $72,314,000; and FY 83 est $72,318,000.

**Range and Average of Financial Assistance:** $5,189 to $1,937,838; $125,366.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 484 research grants, and 90 National Research Service Awards were awarded. The estimates for fiscal year 1982 are 458 research grants, and 79 National Research Service Awards. The estimates for fiscal year 1983 are 432 research grants, and 66 National Research Service Awards. In fiscal year 1981, for new and competing renewal awards: 320 grant applications were received, and of these 129 were awarded; 47 National Research Service Award applications were received, and of these 27 were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66: 45 CFR 74; "NIH Guide for Grants and Contracts, and Supplements," and PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Division of Blood Diseases, National Heart, Lung, and Blood Institute, Bethesda, MD 20205. Telephone: (301) 496-3533 (Use same 7-digit number for FTS). Contact: Allen Czarra, Special Assistant for Program Planning and Evaluation, Telephone: (301) 496-4186.

**RELATED PROGRAMS:** 13.837, Heart and Vascular Diseases Research; 13.838, Lung Diseases Research.

**EXAMPLES OF FUNDED PROJECTS:** A reseach project grant for the evaluation of thrombosis with labeled platelets. - The objectives of this research are to explore and develop methods for utilizing 111-Indium labeled platelets to evaluate the presence, location, and extent of arterial and venous thrombotic events in vivo after angiography or vascular surgery. A project grant for the control of coagulation - This research program is a multidisciplinary effort of twenty-one basic and clinical scientists who are focusing on the general area of the control of coagulation with the major goal being to improve the diagnosis and treatment of patients with hemostatic deficiencies. Specific areas of investigation include porcine von Willebrand's disease; the activation of prothrombin; the adhesion, aggregation, and ultrastructure of platelets in flowing blood; cultured von Willebrand endothelial cells; and atherosclerosis in bleeder and drug-treated experimental animals. A center grant for specialized center of research in thrombosis - This program is composed of about forty investigators who are cooperating in a multidisciplinary, broad-based study of thrombosis. The scientific areas being investigated include platelets, pharmacologic studies, fibrinolysis, electron microscopic studies, radiologic studies, microcirculation, nuclear medicine, surgical studies, and coagulation--all as related to thrombosis. The participating investigators are in the university's medical school, research units, school of pharmacy, and hospital. An individual National Research Service Award for studies in sickle hemoglobinopathies - Research training that includes investigations on globin synthesis in beta thalassemia, the development of a screening test for beta thalassemia trait, and the evaluation of an animal model to study the effects of anti-sickling agents on human sickle cells. A research and development contract involving an aseptic fluid transfer system - The scope of the work called for the development of a sterile connector for entering blood bags and other containers with essentially no risk of microbial or particulate contamination. The aseptic fluid transfer system was clinically evaluated; it is easy to use, inexpensive, and capable of assuring sterility after attachment and of maintaining adequate flow and not damaging red cells or other blood components.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.840 CARIES RESEARCH

### (National Caries Program)

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301(c), Public Law 78-410, as amended.

**OBJECTIVES:** To develop methods to eliminate dental caries as a major health problem. Strategies focus on the development of agents that inactivate the microbial process of caries, that increase the resistance of the tooth, or that decrease the potential of the diet to support caries.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation in the oral health sciences. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for profit institutions. Awards include investigator-initiated Project Grants, Program Grants, and Special Dental Research Awards. National Research Service (NRS) Awards are made directly to individuals for research training in specified biomedical areas. In addition, grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Scientists at universities, hospitals, laboratories, other public or private nonprofit and for profit institutions. Applications are competitively rated on the basis of scientific merit and grants must be approved by the National Advisory Dental Research Council. (1) Nonprofit domestic organizations may apply for the institutional NRS grant. (2) Individual NRS awardees must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. The institutional director of the proposed training activity is responsible for the selection, appointment of fellows, and over-all direction of the training.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. (1) Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Announcements of program interests are published in the NIH Guide to Grants and Contracts. Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State or local units of government. NRSA: Individual: Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Applicants may be sponsored by a nonprofit institution. Institutional: None.

**Application Procedure:** Research Grants: Request application Form PHS-398 from: Application Contol Office of applicant institution or Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7723. NRSA: Application forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Maryland 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-87 as implemented by 45 CFR 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of non-Government scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support. NRSA: All accepted applications are reviewed by an appropriate initial review group and Advisory Council.

**Deadlines:** Grants: New and Supplemental; July 1 and November 1. Renewals: October 1. NRSA: Deadlines: Individual and Institutional: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months. NRSA: 6-9 months.

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months. NRSA: (Same as Grants).

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH NRSA support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually negotiated with the grantee. NRSA: None.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal (PHS-398) must be submitted in accordance with the deadline dates and instructions attached to the form.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants : Annual and terminal reports on progress, expenditures, and inventions. NRSA: Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Grants and NRSA: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Grants: Financial and time and effort records must be kept for at least 3 years after termination of support. NRSA: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** (Grants) FY 81 $7,171,000; FY 82 est $7,612,000; and FY 83 est $8,098,000.

**Range and Average of Financial Assistance:** Grants: $15,000 to $300,000; $75,000. NRSA: $10,000 to $200,000; $30,000.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that 83 research grants, 6 research related awards, 11 individual awards, and 2 institutional awards will be supported in fiscal year 1982. During fiscal year 1976, the National Caries Program implemented the first nation-wide demonstrations of weekly fluoride mouthrinsing in schools as a highly cost/effective method to prevent caries in children. The first clinical trials of a new antimicrobial preventive agent were begun. Efforts to develop an anticaries vaccine were intensified by expanding the NCP experimental primate facilities. Results were reported which showed complete protection of vaccinated monkeys over a period of three years. Efforts to develop a slow-release system for intraoral preventive agents produced a device which will release predetermined amounts of fluoride in linear fashion over a six month period. Plans were completed for the first U.S. clinical trial of xylitol, a dietary sugar substitute. In fiscal year 1981, 86 research grant applications were received, 30 were awarded; 2 career award applications were received, but none was awarded; 6 individual applications for training were received, 6 were awarded; 1 Institutional Application was received, but it was not funded. Approximately 85 research grants, 5 research related awards, 9 individual awards and 2 institutional awards will be supported in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:**Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement. No. (OS) 77-50,000. Leaflet, entitled, "Research Grants from the NIDR," Grant Application Kit.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants and NRSA's: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7884 (Use same 7-digit number for FTS). Contact: John Townsley, Ph.D.

**RELATED PROGRAMS:** 13.841, Periodontal Diseases Research; 13.842, Craniofacial Anomalies Research; 13.843, Restorative Materials Research; 13.844, Pain Control and Behavioral Studies; 13.845, Dental Research Institutes; 13.878, Soft Tissue Stomatology and Nutrition Research.

**EXAMPLES OF FUNDED PROJECTS:** Lysozyme-cell surface interactions and oral defense, Protein inhibitors of calcium phosphate precipitation, Plaque bacteria as predictions of human dental caries, Reactions of titanium fluoride with hydroxyapatite, and Salivary lactoferrin and regulation of the oral flora.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.841 PERIODONTAL DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec.301(c), Public Law 78-410, as amended.

**OBJECTIVES:** To develop new knowledge which may lead to the prevention and eradication of periodontal diseases. Most projects fall into four major areas of interest: 1) microbiology; 2) inflammatory and immune responses; 3) prevention, diagnosis and treatment; and 4) tissue structure and metabolism.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for profit institutions. Awards include investigator-initiated Project Grants, Program Project Grants, Center Grants and Special Dental Research Awards National Research Service (NRS) Awards are made directly to individuals for research training in specified biomedical areas. In addition, grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Scientists at universities, hospitals, laboratories, other public or private nonprofit and for profit institutions. Applications are competitively rated on the basis of scientific merit and grants must be approved by the National Advisory Dental Research Council. NRSA: (1) nonprofit domestic organization may apply for the institutional NRS grant. (2) Individual NRS awardees must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizen, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. The institutional director of the proposed training activity is responsible for the selection, appointment of fellows, and overall direction of the training.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. NRSA: (1) Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Announcements of program interest are published in NIH Guide to Grants and Contracts. Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State and local units of government. NRSA: Individual - Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Applicants may be sponsored by a nonprofit institution. Institutional - None.

**Application Procedure:** Research Grants: Request Application Form PHS 398 from: Application Control Office of applicant institution or Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7723. NRSA: Application forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of non-Government scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support.

**Deadlines:** Grants: New and Supplemental: July 1 and November 1. Renewals: October 1. NRSA: Deadlines: Individual and Institutional: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months. NRSA: 6 to 9 months.

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months. NRSA; (Same as Grants).

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH NRSA support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually negotiated with the grantee. NRSA: None.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal (PHS-398) must be submitted in accordance with the deadline dates and instructions attached to the form. NRSA: See Renewals, above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual and terminal reports on progress, expenditures, and inventions. NRSA: Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:** Grants and NRSA's: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Grants: Financial and time and effort records must be kept for at least three years after termination of support. NRSA: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** (Grants) FY 81 $8,420,000; FY 82 est $8,956,000; and FY 83 est $9,451,000.

**Range and Average of Financial Assistance:** Grants: $15,000 to $600,000; $86,000. NRSA: $10,000 to $250,000; $50,000.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that 71 research grants, 8 research related awards, 16 individual awards, 3 institutional awards, and 3 Periodontal Clinical Research Centers will be supported in fiscal year 1982. Approximately 74 research grants, 5 research related awards, 8 individual awards, 4 institutional awards and 3 Periodontal Clinical Research Centers will be supported in fiscal year 1983. In the periodontal field, additional progress was made in identifying the bacteria which caused different forms of periodontal disease and in determining the body's immune response. In fiscal year 1981, 68 research grant applications were received, 25 were awarded; 2 career award application were received, none were awarded; 9 individual applications for training were received 5 were awarded; 4 institutional training applications were received, and 4 were awarded, and 3 Clinical Research Center Award were supported.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 76-50,000. Leaflet, entitled, "Research Grants from the NIDR," Grant Application Kit.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants and NRSA's: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7784 (Use same 7-digit number for FTS). Contact: Samuel Kakehashi, D.D.S.

**RELATED PROGRAMS:** 13.840, Caries Research; 13.842, Craniofacial Anomalies Research; 13.843, Restorative Materials Research; 13.844, Pain Control and Behavioral Studies; 13.845, Dental Research Institutes; 13.878, Soft Tissue Stomatology and Nutrition Research.

**EXAMPLES OF FUNDED PROJECTS:** Periodontal disease research center, The molecular nature of gingival and mucosal collagen, Servere periodontitis: immunologic studies, The role of bacterial products in periodontal diseases, and Mechanisms of bone resorption in chronic periodontitis.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.842 CRANIOFACIAL ANOMALIES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301(c), Public Law 78-410, as amended.

**OBJECTIVES:** To acquire new knowledge toward the prevention and treatment of malformations such as cleft lip/palate; acquired malformations from surgery or accident; and malocclusion of teeth and jaws.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for profit institutions. Awards include investigator-initiated Project Grants, Program Project Grants, and Special Dental Research Awards. National Research Service (NRS) Awards are made directly to individuals for research training in specified biomedical areas. In addition grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Scientists at universities, hospitals, laboratories, and other public or private nonprofit and for profit institutions. Applications are competitively rated on the basis of scientific merit and grants must be approved by the National Advisory Dental Research Council. NRSA: (1) Nonprofit domestic organizations may apply for the institutional NRS grant. (2) Individual NRS awardees arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. The institutional director of the proposed training activity is responsible for the selection, appointment of fellows, and over-all direction of the training.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. NRSA: (1) Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Announcements of program interests are published in NIH "Guide to Grants and Contracts." Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State or local units of government. NRSA: Individual - Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Applicants may be sponsored by a nonprofit institution. Institutional: None.

**Application Procedure:** Research Grants: Request application Form PHS-398 from: Application Control Office of applicant institution or Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7723. NRSA: Application forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Maryland 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of non-Government Scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support. NRSA: All accepted applications are reviewed by an appropriate initial review group and Advisory Council.

**Deadlines:** Grants: New and Supplemental: July 1 and November 1. Renewals: October 1. NRSA: Deadlines: Individual and Institutional: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months. NRSA: 6 to 9 months

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months. NRSA: (Same as Grants.)

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH NRSA support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually negotiated with the grantee. NRSA: None.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal (PHS-398) must be submitted in accordance with the deadline dates and instructions attached to the form. NRSA: See Renewals, above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual and terminal reports on progress, expenditures, and inventions. NRSA: Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Grants and NRSA: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Grants: Financial and time and effort records must be kept for at least 3 years after termination of support. NRSA: Documentation of expenditures and other fiscal records must be kept readily available for authorized government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** FY 81 $9,137,000; FY 82 est $8,902,000; and FY 83 est $7,947,000.

**Range and Average of Financial Assistance:** Grants: $15,000 to $300,000; $86,000; Fellowships: $10,000 to $200,000; $40,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 approximately 77 research grant applications were received, 29 were awarded; 2 career award application were received, 2 were awarded; 13 individual applications for training were received 12 were awarded and 4 institutional training applications were received 4 were awarded. In fiscal year 1982, approximately 84 research grants, 5 research related awards, 14 individual awards, 7 institutional awards will be supported. Approximately 70 research grants, 4 research related career awards, 11 individual awards, and 7 institutional awards will be supported in fiscal year 1983. Research accomplishments include: 1) A glycoprotein with strong protease inhibitor activity was shown to inhibit the growth of endothelial cells in vitro studies. 2) In the area of sutural growth and tooth movement a key cell was identified which is believed to be involved in the tissue movements necessary for proper development. This new tissue is called myofibroblast. 3) Several neuro-muscular studies have given new insight into clefts of the oral-facial region.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74 PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants and NRSA: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7807 (Use same 7-digit number for FTS). Contact: Jerry D. Niswander, D.D.S.

**RELATED PROGRAMS:** 13.840, Caries Research; 13.841, Periodontal Diseases Research; 13.843, Restorative Materials Research; 13.844, Pain Control and Behavioral Studies; 13.845, Dental Research Institutes; 13.878, Soft Tissue Stomatology and Nutrition Research.

**EXAMPLES OF FUNDED PROJECTS:** Experimental study on the etiology of malocclusion; Study of craniofacial anomalies; Intercellular communication during tooth formation; Tooth eruption/movement/resorption biochemical aspects; and Orthodontic treatment with removable appliances.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.843 RESTORATIVE MATERIALS RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301(c), Public Law 78-410 as amended.

**OBJECTIVES:** To provide better dental care by fostering the development of improved materials and methods to restore lost oral tissues to normal form and function. The physical and biological sciences are encouraged to develop improved dental restorative materials, adhesive sealants, prosthetics, implants and transplants, endodontics and instrumentation.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit institutions. Awards include investigator-initiated Project Grants, Program Project Grants, and Special Dental Research Awards. National Research Service Awards (NRSA) are made directly to individuals for research training in specified biomedical areas. In addition, grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Scientists at universities, hospitals, laboratories, other public or private nonprofit and for profit. institutions. Applications are competitively rated on the basis of scientific merit and grants must be approved by the National Advisory Dental Research Council. NRSA: (1) Nonprofit domestic organizations may apply for the institutional NRS grant. (2) Individual NRS awardees must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. The institutional director of the proposed training activity is responsible for the selection, appointment of fellows, and over-all direction of the training.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. NRSA: (1) Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds proposals. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Announcements of program interests are published in NIH "Guide to Grants and Contracts". Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State or local units of government. NRSA: Individual-prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Applicants may be sponsored by a nonprofit institution. Institutional - None.

**Application Procedure:** Research Grants: Request Application Form PHS-398 from: Application Control Office of applicant institution or Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205, Telephone: (301) 496-7723. NRSA: Applications forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of non-Government scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support. NRSA: All accepted applications are reviewed by an appropriate initial review group and Advisory Council.

**Deadlines:** Grants: New and Supplemental - July 1 and November 1. Renewals: October 1. NRSA: Deadlines: Individual and Institutional: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months. NRSA: 6 to 9 months.

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for re-review is 6 to 9 months. NRSA: (Same as Grants).

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individuals may receive NIH NRSA support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually negotiated with the grantee. NRSA: None.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal PHS-398 must be submitted in accordance with the deadline dates and instructions attached to the form. NRSA: See Renewals, above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual and terminal reports on progress, expenditures, and inventions. NRSA: Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Grants and NRSA: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services. Contracts: May be made at any time during the project and after contractor's completion of performance.

**Records:** Grants: Records must be kept for at least 3 years after termination of support. NRSA: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** (Grants) FY 81 $4,190,000; FY 82 est $4,031,000; and FY 83 est $3,946,000.

**Range and Average of Financial Assistance:** Grants: $15,000 to $300,000; $70,000. NRSA: $10,000 to $200,000; $45,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 approximately 56 research grant applications were received, 15 were awarded; 2 career applications were received, 2 were awarded; 2 individual applications for training were received, 2 were awarded and 5 individual training applications received, 4 were awarded. Approximately 34 research grants, 5 research related awards, 6 individual awards, 5 institutional awards will be supported in fiscal year 1982. Approximately 31 research grants, 4 research related awards, 8 individual awards, and 5 institutional awards will be supported in fiscal year 1983. Clinical testing of amalgams coupled with research in amalgam will be supported in fiscal year 1982. Clinical testing of amalgams coupled with research in amalgam chemistry, physics, and metalurgy, continue to provide data which point to longer lasting fillings. Promising preliminary data on bioglass implants indicate that bioglass has a biologically active surface which is conducive to growth and dense bone collagen. This is a promising material for tooth implants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 77-50,000, Leaflet, entitled, "Research Grants from the NIDR" Grants Application Kit.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants and NRSA: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7492 (Use same 7-digit number for FTS). Contact: Thomas Valega, Ph.D.

**RELATED PROGRAMS:** 13.840, Caries Research; 13.841, Periodontal Diseases Research; 13.842, Craniofacial Anomalies Research; 13.844, Pain Control and Behavioral Studies; 13.845, Dental Research Institutes; 13.878, Soft Tissue Stomatology and Nutrition Research.

**EXAMPLES OF FUNDED PROJECTS:** Clinical behavior of dental restorative materials; Marginal fracture of dental amalgam; Root formation in lower vertebrate tooth transplants; Compare aluminum oxide and carbon dental implants; and Dental porcelain improvement with inorganic polymers.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.844 PAIN CONTROL AND BEHAVIORAL STUDIES

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301(c), Public Law 78-410 as amended.

**OBJECTIVES:** To increase knowledge concerning the nature, etiology, pathophysiology, diagnosis and treatment of oral pain problems; and to achieve greater utilization of behavioral sciences knowledge in dental and oral problems to reduce the fear and anxiety associated with dental treatment in both children and adults.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. They are awarded to universities, colleges, medical and dental schools, hospitals, other nonprofit and for profit institutions. Awards include investigator-initiated Project Grants, Program Project Grants and Special Dental Research Awards. National Research Service (NRS) Awards are made directly to individuals for research training in specified biomedical areas. In addition grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives an NRS Award is obligated upon termination of the award to comply with certain service and payback provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Scientists at universities, hospitals, laboratories, other public or private nonprofit and for profit institutions. Applications are competitively rated on the basis of scientific merit and grants must be approved by the National Advisory Dental Research Council. NSRA: (1) Nonprofit domestic organizations may apply for the institutional NRS grant. (2) Individual NRS awardees must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. The institutional director of the proposed training activity is responsible for the selection, appointment of fellows, and over-all direction of the training.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. NRSA: (1) Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Announcements of program interests are published in NIH "Guide to Grants and Contracts". Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State and local units of government. NRSA: Individual - Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Applicants may be sponsored by a nonprofit institution. Institutional: None.

**Application Procedure:** Research Grants: Request application form PHS-398 from: Application Control Office of applicant institution or Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD. Telephone: (302) 496-7723. Application forms for individual or institutional NRS Awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of non-Government scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support.

**Deadlines:** Grants: New and Supplemental: July 1 and November 1. Renewals: October 1. NRSA: Deadlines: Individual and Institutional: October 1. Contracts: As specified in the individual request for proposals.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months. NRSA: 6 to 9 months.

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months. NRSA: (Same as Grants).

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH NRSA support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually negotiated with the grantee. NRSA: None.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time for initial award the grant provides funds for the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal (PHS-398) must be submitted in accordance with the deadline dates and instructions attached to the form.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual and terminal reports on progress, expenditures, and inventions. NRSA: Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:** Grants and NRSA: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Grants: Records must be kept for at least 3 years after termination of support. NRSA: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** (Grants) FY 81 $3,296,000; FY 82 est $3,023,000; and FY 83 est $3,335,000.

**Range and Average of Financial Assistance:** Grants: $15,000 to 300,000; $60,000. Fellowships: $10,000 to $200,000; average $24,000.

**PROGRAM ACCOMPLISHMENTS:** Approximately 28 research grants, 1 research-related award, 9 individual awards, and 2 institutional awards, will be supported in fiscal year 1982. It is estimated approximately 29 research grants, 4 research-related awards, 4 individual awards, and 2 institutional award will be supported in fiscal year 1983. In fiscal year 1981, 41 research grant applications were received, and 17 were awarded; 6 individual training applications were received, 3 were awarded; 4 Career awards were received, 2 were awarded, 2 institutional awards were received, more were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants and NRSA: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7491 (Use same 7-digit number for FTS). Contact: Aaron Ganz, Ph.D.

**RELATED PROGRAMS:** 13.840, Caries Research; 13.841, Periodontal Diseases Research; 13.842, Craniofacial Anomalies Research; 13.843, Restorative Materials Research; 13.845, Dental Research Institutes; 13.878, Soft Tissue Stomatology and Nutrition Research.

**EXAMPLES OF FUNDED PROJECTS:** Oral and maxillofacial surgery; Control of stress during dental procedures; Effects of physiological feedback on dental fear; Dental and orofacial pain: Brain stem mechanism; and Psychological implications of dentofacial malocclusion.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.845 DENTAL RESEARCH INSTITUTES

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301(c), Public Law 78-410, as amended.

**OBJECTIVES:** To develop institutes or centers to focus resources on the problems of oral health in ideal research and training environments.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The Dental Research Institute program grant provides funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigations relevant to program objectives. The grants are awarded to universities with existing research strengths in a wide range of biological, physical and social sciences.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any organization may apply, however the program is especially directed toward large universities with established research strength organized to focus on oral health problems.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State or local units of government.

**Application Procedure:** Application Form PHS 398. This program is subject to the provisions of OMB Circular No. A-110 as implemented by CFR 45, Part 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of non-Government scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support.

**Deadlines:** Grants: New and Supplemental: July 1 and November 1. Renewals: October 1. NRSA individual and institutional: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months.

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually negotiated with the grantee.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-15332) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal (PHS-398) must be submitted in accordance with the deadline dates and instructions attached to the form.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual and terminal reports on progress, expenditures, and inventions.

**Audits:** Site visits and audits are made at any time during project period, usually on an annual basis.

**Records:** Grants: Records must be kept for at least three years after termination of support.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** (Grants) FY 81 $7,476,000; FY 82 est $7,086,000; and FY 83 est $7,382,000.

**Range and Average of Financial Assistance:** $1,000,000 to $2,000,000; $1,500,000.

**PROGRAM ACCOMPLISHMENTS:** Five Dental Research Institute Grants will be supported in fiscal year 1982, and 5 will be supported in fiscal year 1983. Interdisciplinary research teams conducted studies covering the entire range of oral health problems, producing almost 500 scientific publications. In fiscal year 1980 one application for research institute/center grants was received, and one was awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7748 (Use same 7-digit number for FTS). Contact: George Hausch, Ph.D.

**RELATED PROGRAMS:** 13.840, Caries Research; 13.841, Periodontal Diseases Research; 13.842, Craniofacial Anomalies Research; 13.843, Restorative Materials Research; 13.844, Pain Control and Behavioral Studies; 13.878, Soft Tissue Stomatology and Nutrition Research.

**EXAMPLES OF FUNDED PROJECTS:** Support for Oral Bilology Research Center; Regional Dental Research Center; Institute of

Dental Research; Development support for Dental Research Institute; and Center for Oral Health Research.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested and the relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.846 ARTHRITIS, MUSCULOSKELETAL AND SKIN DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 433; Public Law 78-410, as amended; 42 U.S.C. 241, 42 U.S.C. 289 c. Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 l-1.

**OBJECTIVES:** To support basic laboratory research and clinical investigations extramurally and to provide postdoctoral biomedical research training for individuals interested in careers in health sciences and fields related to these programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grants - individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards - Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the institutional National Research Service grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As required in application form. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research grants - the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. National Research Service Awards - Applications forms for individual or institutional National Research Service Awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205.

**Application Procedure:** Research grants - PHS Form 398 with current instructions available from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205 and completed forms should be submitted to the same office. National Research Service Awards - Completed application forms should be submitted to the above address under Preapplication Coordination. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Following review by the appropriate study section and council the successful applicant is notified by the National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases through a notice of Grant Award.

**Deadlines:** Research grants-July 1 and November 1. Renewals: October 1. National Research Awards: October 1.

**Range of Approval/Disapproval Time:** Research grants - 6 to 9 months. National Research Service Awards - 6 to 9 months.

**Appeals:** Research grants and National Research Service Awards: applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Research grants - renewals by competitive application and review. Extension by request and administrative action. National Research Service Awards - individuals awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Research grants - institutions must participate in the cost of research on an institution - wide basis but not on each individual project. National Research Service Awards - none. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grants - awards may be recommended for up to 5 years. Awards usually made for 12-month budget periods.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research grants - annual and terminal progress reports. Also annual reports of inventions and reports of expenditures. Annual certification with respect to research involving human subjects. National Research Service Awards - Reports are required after termination of National Research Service Awards to ascertain compliance with service and pay back provisions.

**Audits:** Research grants - grants are subject to audit by Government auditors as described in the policy statement available from the Division Research Grants, National Institutes of of Health. National Research Service Awards - subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Research grants - Financial records, including documents supporting accounting records and substantive charges to each grant must be maintained until at least 3 years after the end of the project or until audit is completed. National Research Service Awards-documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0884-0-1-550.

**Obligations:** (Grants) FY 81 $61,515,000; FY 82 est $59,926,000; and FY 83 est $62,070,000.

**Range and Average of Financial Assistance:** Research grants - $25,000 to $1,122,371; $108,095. National Research Service Awards - $14,333 to $23,780; $22,333 average.

**PROGRAM ACCOMPLISHMENTS:** Research grants - fiscal year 1981, 535 awards; fiscal year 1982, 512 awards estimated; fiscal year 1983, 502 awards estimated. National Research Service Awards - fiscal year 1981, 80 awards and 194 trainees; fiscal year 1981, 74 awards and 170 trainees estimated; fiscal year 1983, 74 awards and 176 trainees estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research grants - 42 CFR 52; 42 CFR 66; 45 CFR 74; and PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research grants - Dr. G. T. Brooks, Associate Director for Extramural Program Activities, Room 607A, Westwood Building. National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7277 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Research on Lyme Arthritis: A New Epidemic Disease; Study of Rheumatoid Arthritis; Total Surgical Replacement of the Human Hip Joint; Mechanisms of Arthritic and Dermatologic Disorders; and Neoplastic and Hyperplastic Epidermal Metabolism.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.847 DIABETES, ENDOCRINOLOGY AND METABOLISM RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (d) and Section 433; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289 c; Public Health Act, Section 472; 42 U.S.C. 289 l-1.

**OBJECTIVES:** To support basic laboratory research and clinical investigations extramurally and to provide postdoctoral biomedical research training for individuals interested in careers in health sciences and fields related to these programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevent to program objectives. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grants - individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards - Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the institutional National Research Service grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As required in application form. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research grants - the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. National Research Service Awards - Applications forms for individual or institutional National Research Service Awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Maryland 20205.

**Application Procedure:** Research grants - PHS Form 398 with current instructions available from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205 and completed forms should be submitted to the same office. National Research Service Awards - Completed application forms should be submitted to the above address under Preapplication Coordination. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Following review by the appropriate study section and council, the successful applicant is notified by the National Institute of Arthritis, Diabetes, and Digestive, and Kidney Diseases through Notice of Grant Award.

**Deadlines:** Research grants - July 1 and November 1. Programs: October 1. National Research Service Awards: October 1.

**Range of Approval/Disapproval Time:** Research grants - 6 to 9 months. National Research Service Awards - 6 to 9 months.

**Appeals:** Research grants and National Research Service Awards: applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Research grants - Renewals by competitive application and review. National Research Service Individual Awards - may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Research grants - institutions must participate in the cost of research on an institution - wide basis but not on each individual project. National Research Service Awards - none. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grants - awards may be recommended for up to 5 years. Awards usually made for 12-month budget periods.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research grants - annual and terminal progress reports. Also, annual reports of inventions and reports of expenditures. Annual certification with respect to research involving human subjects. National Research Service Awards - Reports are required after termination of National Research Service Awards to ascertain compliance with service and pay back provisions.

**Audits:** Research grants - grants are subject to audit by government auditors as described in the policy statement available from the Research Grants Review Branch, Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. National Research Service Awards - subject to auditing procedures of the sponsoring institutions and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Research grants - financial records, including documents supporting accounting records and substantive charges to each grant must be maintained until at least 3 years after the end of the project or until audit is completed. National Research Service Awards - documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0884-0-1-550.

**Obligations:** (Grants) FY 81 $127,465,000; FY 82 est $125,095,000; and FY 83 est $126,504,000.

**Range and Average of Financial Assistance:** Research grants - $25,000 to $1,666,095; $100,901. National Research Service Awards - $14,333 to $23,780; $22,333 average.

**PROGRAM ACCOMPLISHMENTS:** Research grants: fiscal year 1981, 1,183 awards; fiscal year 1982, 1,110 awards estimated; fiscal year 1983, 1,082 awards estimated. National Research Service Awards: fiscal year 1981, 172 awards and 333 trainees estimated; fiscal year 1982, 163 awards and 374 trainees estimated; fiscal year 1983, 154 awards and 370 trainees estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research grants - 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research grants - Dr. G. T. Brooks, Associate Director for Extramural Program Activities, Room 607A, Westwood Building, National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7277 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Pathogenesis of Diabetes Mellitus, Factors That Modify Insulin Action, Chemical Studies of Hormones and Metabolic Disorders, Measurement of Protein Hormones in Plasma, and Research on the Basic Defect in Cystic Fibrosis.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.848 DIGESTIVE DISEASES AND NUTRITION RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (d) and Section 433; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289 c.; Public Health Service Act, Section 472, 42 U.S.C. 289 1-1.

**OBJECTIVES:** To support basic laboratory research and clinical investigations extramurally and to provide postdoctoral biomedical research training for individuals interested in careers in health sciences and fields related to these programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants provide funds for services, equipment, supplies, trainers, and other expenses associated with scientific investigation relevant to program objectives. National Research Services Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grants -individuals and public and institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards-Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the institutional National Research Service grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As required in application form. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74 Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research grants - The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of Government. National Research Service Awards-Applications forms for individual or institutional National Research Service Awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Maryland 20205.

**Application Procedure:** Research grants - PHS Form 398 with current instructions available from the Division of Research Grants, National Institutes of Health, and completed forms should be submitted to the same office. National Research Service Awards - Completed application forms should be submitted to the above address under Preapplication Coordination. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Following review by the appropriate study section and council the sucessful applicant is notified by the National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases through a notice of Grant Award.

**Deadlines:** Research grants: July 1 and November 1. Renewals July 1 and October 1. National Research Services Awards: July 1 and October 1.

**Range of Approval/Disapproval Time:** Research grants - 6 to 9 months. National Research Service Awards 6 to 9 months.

**Appeals:** Research grants - resubmission of applications. National Research/Service Awards - application not favorably recommended may be revised and resubmitted. Additional time for review is 5 to 7 months.

**Renewals:** Research grants - renewals by competitive application and review. National Research Service Individual Awards - awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Research grants - institutions must participate in the cost of research on an institution - wide basis but not on each individual project. National Research Service Awards -- None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grants - awards may be recommended for up to five years. Awards usually made for 12-month budget periods.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research grants - Annual and terminal progress reports. Also annual reports of inventions and reports of expenditures. Annual certification with respect to research involving human subjects. National Research Service Awards-Reports are required after termination of National Research Service Awards to ascertain compliance with service and payback provisions.

**Audits:** Research grants - Grants are subject to audit by Government auditors as described in the policy statement available from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. National Research Service awards - Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Research grants - Financial records, including documents supporting accounting records and substantive charges to each grant must be maintained until at least 3 years after the end of the project or until audit is completed. National Research Service Awards-Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for three years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0884-0-1-550.

**Obligations:** (Grants) FY 81 $54,729,000; FY 82 est $54,140,000; and FY 83 est $55,375,000.

**Range and Average of Financial Assistance:** Research grants: $25,000 to $1,470,255; $97,239; National Research Service Awards: $14,333 to $23,780; $22,333 average.

**PROGRAM ACCOMPLISHMENTS:** Research grants - fiscal year 1981, 522 awards; fiscal year 1982, 498 awards estimated; fiscal year 1983, 486 awards estimated. National Research Service Awards in fiscal year 1981, 85 awards and 175 trainees estimated; fiscal year 1982, 80 awards and 184 trainees estimated; fiscal year 1983, 79 awards and 189 trainees estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research grants - 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research grants - Dr. G. T. Brooks, Associate Director for Extramural Program Activities, Room 603A Westwood Building, National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7277 (Use same 7-digit number for FTS). Research Grants, NIH, DHHS, Bethesda, MD 20014. Telephone: (301) 496-7221 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Studies of the Small Intestinal Slow Wave, Effects of Over - and Undernutrition in Thyroid Hormone, Pathogenesis of Hepatic Coma, Control of Gastric Secretion, and Clinical and Experimental Study of Obesity.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.849 KIDNEY DISEASES, UROLOGY AND HEMATOLOGY RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301(d) and Section 433; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289 c; Public Health Service Act, Section 472; 42 U.S.C. 2891-1.

**OBJECTIVES:** To support basic laboratory research and clinical investigations extramurally and to provide postdoctoral biomedical research training for individuals interested in careers in health sciences and fields related to these programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevent to program objectives. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grants - individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards - Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the institutional National Research Service grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** As required in application form. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research grants - the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. National Research Service Awards - Applications forms for individual or institutional National Research Service Awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, Maryland 20205.

**Application Procedure:** Research grants - PHS Form 398 with current instructions available from the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205 and completed forms should be submitted to the same office. National Research Service Awards - Completed application forms should be submitted to the above address under Preapplication Coordination. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Following review by the appropriate Study Section and Council the successful applicant is notified by the National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases through a Notice of Grant Award.

**Deadlines:** Research grants - July 1 and November 1. Renewals: October 1. National Research Service Awards: October 1.

**Range of Approval/Disapproval Time:** Research grants - 6 to 9 months. National Research Service Awards - 6 to 9 months.

**Appeals:** Research grants and National Research Service Awards - applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Research grants - renewals by competitive applications and review. Extension by request and National Research Service Individual Awards - Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Research grants - institutions must participate in the cost of research on an institution - wide basis but not on each individual project. National Research Service Awards - none. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grants - award may be recommended for up to 5 years. Awards usually made for 12-month budget periods.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research grants - annual and terminal progress reports. Also annual reports of inventions and reports of expenditure. Annual certification with respect to research involving human subjects. National Research Service Awards - Reports are required after termination of National Research Service Awards to ascertain compliance with service and pay back provisions.

**Audits:** Research grants - grants are subject to audit by Government auditors as described in the policy statement available from the Division of Research Grants, National Institutes of Health. National Research Service Awards - subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Research grants - financial records, including documents supporting accounting records and substantive charges to each grant must be maintained until at least three years after the end of the project or until audit is completed. National Research Service Awards - documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0884-0-1-550.

**Obligations:** (Grants) FY 81 $58,824,000; FY 82 est $57,737,000; and FY 83 est $59,757,000.

**Range and Average of Financial Assistance:** Research grants: $25,000 to $1,111,889; $99,397; National Research Services Awards: $14,333 to $23,780; $22,333 average.

**PROGRAM ACCOMPLISHMENTS:** Research grants - fiscal year 1981, 551 awards; fiscal year 1982, 550 awards estimated; fiscal year 1983, 539 awards estimated. National Research Service Awards - fiscal year 1981, 82 awards and 185 trainees; fiscal year 1982, 81 awards and 187 training estimated; fiscal year 1983, 75 awards and 180 trainees estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research grants - 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research grants - Dr. G.T. Brooks, Associate Director for Extramural Program Activities, Room 603A, Westwood Building, National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7277.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** The Neural Control of Renal Function; Kidney Function in Infants and Children; Abnormal Protein Binding in Uremia; Magnetic Measurement of Human Iron Stores; and Factors Regulating Hematopoiesis.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.853 CLINICAL RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and 433; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289c; Public Health Service Act, Section 472; 42 U.S.C. 289 1-1.

**OBJECTIVES:** Research is directed towards the solution of clinical problems directly relevant to patients with neurological disorders or disorders of human communication such as deafness, speech and language. This includes improved methods of disease prevention; new methods of diagnosis; clincial trails; drug development; development of neural prostheses for stroke, paraplegia and deafness; epidemiological research; and research training in the clinical sciences. Other objectives of the clinical research program are to identify, encourage, and support specific research and research training aimed at understanding the causes, diagnosis, treatment and prevention of stroke, head and spinal cord injury, central nervous system tumors, as well as disorders of the ear, human communication and the senses of taste, smell and touch. Centers support research on epilepsy, multiple sclerosis, neuromuscular disorders, speech, hearing, stroke, spinal cord injury, head injury and amyotrophic lateral sclerosis.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research grants may be used to provide salaries, equipment, supplies, travel and other expenses for research. The institution is obliged to expend grant funds prudently for the purposes as stated in the application and award document. National Research Service Awards: Are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRS Awards to individuals selected by them. Research career and Teacher Investigator awards are made to enhance research capability of selected individuals during the formative stages of their careers and who demonstrate potentials for careers of independent research. Grant funds may be expended only for the purpose stated in the application and award document. Each individual who receives an NRS Award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grants: Any public, private nonprofit or profit making institution is eligible to apply. The proposals are reviewed for scientific merit, for evaluation of the qualifications of adequacy of research environment, and for significance of the problem. Approval proposals compete for available funds although profit making institutions are not eligible for National Research Service Awards or Biomedical Research Support Grant Programs. All career program awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, postdoctorals must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Research grants are awarded to an institution in the name of an individual investigator. Any person qualified to carry out research related to stroke and nervous system trauma may apply for funds to support their investigations. Career program applicant training must be conducted under the direction of a competent sponsor. An applicant for a career awards must have an earned M.D., Ph.D., or equivalent degree and must generally have had at least 3 years pertinent postdoctoral training or research experience. National Research Service Awards: Individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for stipend support, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research grants - The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. Career program - None. Research Fellowships - Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Fellows may be sponsored by a (domestic or foreign) nonprofit institution. Application forms and information concerning current areas of science being supported under the Research Fellowship Award Program should be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205.

**Application Procedure:** Request grant application forms (PHS 398) from the Division of Research Grants, NIH, Bethesda, MD 20205. Complete application forms and return to Division of Research Grants, NIH, Bethesda, MD 20205. Application forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Research Grant and training program applications are initially reviewed by technical panels, composed of nongovernment scientific authorities, and by the NINCDS Advisory Council composed of 16 leaders in medical, science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the Grantee or Awardee.

**Deadlines:** Research grants - July 1 and November 1 for new research grant applications. Supplemental research grant applications, career programs and Individual and Institutional NRS Awards - October 1.

**Range of Approval/Disapproval Time:** Research grants - Approximately 6 to 9 months. Career program - 6 to 9 months.

**Appeals:** An unsuccessful applicant can communicate with Institute personnel concerning the evaluation of the application and procedures for reapplying.

**Renewals:** By application and review in same manner as new applications career. Awards may not be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Research Grants: current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are negotiated with the institution. Career program: None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grants - Award is made for a 12 month period. Award must be expended within the grant period. Training Programs - Award is usually for a 12 month period with recommendation of additional support of up to a total of 5 years. Award must be expended within the grant period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research grants - Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career program - Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Research grants - Grants subject to audit by representatives of the Department of Health and Human Services as required to verify proper financial transactions, accounting, and use of funds in accordance with applicable laws, regulations and procedures. Career program - None.

**Records:** Documents to support entries on the accounting records and to substantiate charges to grant awards must be kept readily available to personnel authorized to examine Public Health Service accounts. Records must be maintained for 3 years after the end of each budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0886-0-1-550.

**Obligations:** (Grants) FY 81 $77,221,000; FY 82 est $80,588,000; and FY 83 est $83,144,000.

**Range and Average of Financial Assistance:** Research Grants: $12,000 to $2,370,000; $150,000. Career Program: Teacher Investigator Awards - $38,000 to $47,000; $43,000. Research Career Awards - $32,000; Research Career Development - $35,000 to $41,000; $38,000. National Research Service Awards - Institutional: $21,000 to $108,000; $78,000; Individual: $14,000 to $23,000; $20,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981: 397 research grants, and 81 NRS awards. Fiscal year 1982 estimate: 401 research grants, and 68 NRS awards. Stroke and Nervous System Trauma Program: In fiscal year 1981, there were 395 competing research applications and of that number 124 awards, and 69 competing NRSA applications with 29 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research grants - 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement, No. (OS) 77-50,000. Teacher Investigator Awards, NINCDS, General Information.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Research grants: Dr. John C. Dalton, Extramural Activities Program, NINCDS, NIH, Bethesda, MD 20205. Telephone: (301) 496-9248 (Use same 7-digit number for FTS). NRSA and Career Program: Dr. John Diggs, Deputy Director, Extramural Activities Program, NINCDS, NIH, Bethesda, MD 20205. Telephone: (301) 496-4188 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.854, Biological Basis Research.

**EXAMPLES OF FUNDED PROJECTS:** Included in this effort are multi-disciplinary clinical research centers on stroke, head and spinal cord injury, epilepsy, hearing and speech, and demyelinating disorders, as well as a large number of individual grants. In head and spinal cord injury research studies, particular emphasis is given to the biomedical events and metabolish following injuries, with a view toward both salvaging damaged tissue and also creating conditions in which regeneration of injured nerve cells can take place. The clinical research program sponsors clinical trails to evaluate various therapeutic approaches to head and spinal cord injury, epilepsy, multiple sclerosis and other neurologic and neuromuscular disorders. The effects of systemic cancer on the central nervous system are extensively studied, as part of the brain and spinal cord tumor research effort. Other examples of funded projects include otitis media pathogenesis, metabolic processes of the inner ear, neuromuscular properties of of speech, brain organization and systems of language and physical and chemical quantification of odor molecules.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.854 BIOLOGICAL BASIS RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and 433; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289 c; Public Health Service Act, Section 472, 42 U.S.C. 289 1-1.

**OBJECTIVES:** The biological basis research program includes: 1) neurological and communicative science basic research which explore the fundamental structure and function of the brain and the nervous system; 2) research to understand the causes and origins of pathological conditions of the nervous system and hearing with the goal of prevention of these disorders; 3) research on the natural course of neurological and communicative disorders; and 4) research training in the basic communicative sciences and basic neurological sciences. Main objectives of the biological basis research program are: 1) to identify, encourage and support specific research training; 2) to understand the causes, diagnoses, treatment and prevention of neurological and communicative disorders; 3) to support research on the normal function of the human nervous system, the structure and function of nerves (synapses, neurotransmitter, membrane), the basic disciplines (neuroanatomy, neurophysiology, neuromuscular biology); and 4) to understand the nature of neurological diseases and disorders. Also included in this research is the development of neural protheses and behavioral studies related to sensory deprivation, the limbic system and central processing.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research grants may be used to provide salaries, equipment, supplies, travel and other expenses for research. The institution is obliged to expend grant funds prudently for the purposes as stated in the application and award document. National Research Service Awards: Are made directly to individuals for research training in specifified biomedical shortage areas or to institutions, to enable them to make NRS awards to individuals selected by them. Research career and Teacher Investigator Awards are made to enhance the research capability of selected individuals during the formative stages of their careers and who demonstrate potential for careers of independent research. Grant funds may be expended only for the purpose stated in the application and award document. Each individual who receives an NRS award is obligated upon termination of the award to comply with service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grants: Any public or private nonprofit or profit making institution is eligible to apply. The proposals are reviewed for scientific merit, for evaluation of the qualifications of the applicant, for the adequacy of research environment, and for significance of the problem. Approved proposals compete for available funds, although profit making institutions are not eligible for NRSA or BRSG programs. All career program awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, postdoctorals must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Research grants are awarded to an institution in the name of an individual investigator. Any person qualified to carry out biological basis research may apply for funds to support their investigations. Career program applicant training must be conducted under the direction of a competent sponsor. An applicant for a Career Award must have an earned M.D., Ph.D., or equivalent degree and must generally have had at least 3 years of pertinent postdoctoral training or research experience. National Research Service Awards: Individual NRS awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for stipend support, and detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C or that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research grants - The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. Career program - None. Research fellowships - Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Fellows may be sponsored by a (domestic or foreign) nonprofit institution. Application forms and information concerning current areas of science being supported under the Research Fellowship Award Program should be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205.

**Application Procedure:** Request grant application forms (PHS 398) from the Division of Research Grants, NIH, Bethesda, MD 20205. Complete application form and return to same address. Research fellowships - Application forms and information concerning current areas of science being supported are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. This program is subject to the provision of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Research grant and training program applications are reviewed initially by technical panels, composed of nongovernment scientific authorities, and by the NINCDS Advisory Council composed of 16 leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee.

**Deadlines:** Research grants - July 1 and November 1 for new research grant applications. Supplemental research grant applications, career programs and individual and institutional NRS Awards - October 1.

**Range of Approval/Disapproval Time:** Research grants - Approximately 6 to 9 months. Career program - 6 to 9 months.

**Appeals:** Unsuccessful applicants can communicate with Institute personnel concerning the evaluation of the application and procedures for reapplying.

**Renewals:** By application and review in same manner as new application, career awards may not be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Research grants: current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are negotiated with the institution. Career program: None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grants - Award is made for a 12 month period. Award must be expended within the grant period. Training Programs - Award is usually for a 12 month period with recommendation of additional support of up to a total of 5 years. Award must be expended within the grant period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research grants - Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career program - Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Research grants - Grants subject to audit by representatives of the Department of Health and Human Services, as required to verify proper financial transactions, accounting, and use of funds in accordance with applicable laws, regulations and procedures. Career program - None.

**Records:** Documents to support entries on the accounting records and to substantiate charges to the grant awards must be kept readily available to personnel authorized to examine Public Health Service accounts. Records must be maintained for 3 years after the end of each budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0886-0-1-550.

**Obligations:** (Grants) FY 81 $111,599,000; FY 82 est $117,588,000; and FY 83 est $120,398,000.

**Range and Average of Financial Assistance:** Research Grants: $11,000 to $601,000; $80,000. Research Career Development Awards - $34,000 to $41,000; $38,000; National Research Service Awards - Institutional, $48,000 to $233,000; $94,000 Individual, $4,000 to $23,000; $19,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981: 1,292 research grants and 204 NRS awards. 1982 estimate: 1,294 research grants, 172 NRS awards. Fundamental Neurosciences Programs: In fiscal year 1981, there were 1,288 competing research grant applications and of that number 405 awards, and 173 competing NRSA applications with 74 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research grants - 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement (No. (OS) 77-50,000.) "Teacher Investigator Awards," NINCDS, General Information.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Research grants: Dr. John C. Dalton, Extramural Activities Program, NINCDS, NIH, Bethesda, MD 20205. Telephone: (301) 496-9248 (Use same 7-digit number for FTS). NRSA and Career program: Dr. John Diggs, Deputy Director, Extramural Activities Program, NINCDS, NIH, Bethesda, MD 20205. Telephone: (301) 496-4188 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.853, Clinical Research.

**EXAMPLES OF FUNDED PROJECTS:** Included in this effort are multi-disciplinary clinical research centers on stroke, head and spinal cord injury, epilepsy, hearing and speech, and demyelinating disorders, as well as large number of individual grants. In head and spinal cord injury research studies, particular emphasis is given to the biomedical events and metabolism following injuries, with a view toward both salvaging damaged tissue and also creating conditions in which regeneration of injured nerve cells can take place. The clinical research program sponsors clinical trails to evaluate various therapeutic approaches to head and spinal cord injury, epilepsy, multiple sclerosis, and other neurologic and neuromuscular disorders. The effects of systemic cancer on the central nervous system are extensively studied, as part of the brain and spinal cord tumor research effort. Other examples of funded projects include o include otitis media pathogenesis, metabolic processes of the inner ear, neuromuscular properties of speech, brain organization and systems of language, and physical and chemical quantification of odor molecules.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.855 IMMUNOLOGY, ALLERGIC AND IMMUNOLOGIC DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 30 (c) and Public Law 78-410, as amended.

**OBJECTIVES:** The Immunology, Allergic, and Immunologic Diseases Program (IAIDP) concerns the immune system as it functions in the maintenance of health and as it malfunctions in the production of diseases. Because of this dual focus, the program encompasses both basic research (immunology) and clinical research (allergic and immunologic diseases). The objectives of the program are to assist public and private nonprofit institutions and individuals to establish, expand, and improve biomedical research and research training in allergic and immunologic diseases and related areas; to assist public, private and commercial institutions to conduct development research, to produce and test research materials and to provide research services as required by the agency for research progess in allergic and immunologic diseases.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grantee funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientist and institutions are under an obligation to expand grant funds prudently for the purposes stated in the application and award document. Research Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the sciences related to allergies and immunologic diseases. National Research Service Awards (Individuals) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Awards (Institutional) may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provision.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Universities, colleges, hospitals, laboratories, and other public or private nonprofit domestic institutions including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. Individual NRS awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRS awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree and post-doctorals must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc. D., D. Eng., or equivalent domestic or foreign degree). For-profit organizations are now eligible, with the exception of NRSA and BRSG programs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. Applicants for Individual NRS Awards must include their academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., in their applications. The applicant for an Institutional NRS grant must specify the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For grants, contact the headquarters office listed below. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used for the research grant programs by those applicants which are State or local units of government.

**Application Procedure:** Use Form PHS 398 (PHS-5161-1 for State and local government units) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from NIH. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR Part 74.

**Award Procedure:** All accepted applications are reviewed for scientific merit by an appropriate initial review group and in the case of grant and NRS Awards, by the Advisory Council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and applicant institution.

**Deadlines:** Research grant applications must be received 8 or 9 months prior to the September/October, January/February or May Council reviewing the applications. Deadlines for applications are indicated in the instructions.

**Range of Approval/Disapproval Time:** 8 to 9 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to five years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually or institutionally negotiated with the grantee. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grant project periods average 3 years; may not be extended beyond 7 years. (project periods are generally composed of 1 year budget periods.)

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports and financial status reports are required.

**Audits:** Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0885-0-1-550.

**Obligations:** (Grants) FY 81 $68,854,000; FY 82 est $69,995,000; and FY 83 est $71,262,000.

**Range and Average of Financial Assistance:** (Grants) $25,728 to $1,196,066; $112,728. (NRS Awards) $14,040 to $176,465; $43,560.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, a total of 665 grant awards were made to establish, expand, and improve research and research training in basic immunobiology and immunochemistry, hypersensitivity and inflammation, asthma and allergic diseases, the immune system and its disorders, immunopathology, transplantation biology and immunogenetics and lymphocyte biology, and the support of research centers for the study of asthma and allergic diseases, immunodermatology, and immunologic diseases. An estimated 61 awards will be made in fiscal year 1982 and an estimated 563 awards in fiscal year 1983 In fiscal year 1981, 448 competing research project grant applications were received, and of that number 163 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Grants Policy Statement; 77-50,000, 42 CFR 52; 42 CFR 66; and 45 CFR 74.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Gary Thompson, Grants Management Branch, National Institute of Allergy and Infectious Diseases, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7075 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.856, Microbiology and Infectious Diseases Research.

**EXAMPLES OF FUNDED PROJECTS:** Studies in asthma and allergic diseases concern the etiology, pathogenesis, diagnosis, prevention, and treatment of both naturally occurring and acquired allergic diseases. The objectives of this program are: to encourage collaboration between basic and clinical scientists; to provide a research environment favorable for such interaction; and to implement clinical application of adequately tested research findings and procedures. Centers are expected to have facilities and personnel capable of designing long term approaches either to the investigation of one or more major allergic disorder or to the basic mechanism of human allergic diseases. Research in immunologic diseases is designed to investigate the underlying mechanisms of diseases as well as applications of basic knowledge to the etiology, prevention, and management of immunologic disorders. Studies can be conducted from either of two disciplinary approaches - clinical immunology or immunopathology. Pertinent areas for study are the following: immune deficiency diseases that arise from primary defects, development, or maturation of the immue response or as secondary results from disorders affecting immune responses; clincial manifestations mediated by products of lymphocytes; diseases associated with immune complexes and autoimmune phenomena; and immunodermatology. Expamples include "Role of Microtubles in Allergy", "Mechanism of Virus Induced Asthma", "Resistance to Infectious and Neoplastic Disease," "Immune Response to Infectious Agents In JRA", "Genetic Factors In the Development of Atopic Disease."

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.856 MICROBIOLOGY AND INFECTIOUS DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301 (c) and Public Law 78-410, as amended.

**OBJECTIVES:** The Microbiology and Infectious Diseases Program (MIDP) supports research with the broad aim of improving health by controlling disease caused by infectious or parasitis agents. Projects range from studies of microbial physiology and antigenic structure to collaborative trials of experimental drugs and vaccines. Program project grants and contracts are used to fund selected projects of high Institute relevance. The objectives of the program are to assist public and private nonprofit institutions and individuals to establish, expand and improve biomedical research and research training in infectious diseases and related areas; to assist public, private and commercial institutions to conduct developmental research, to produce and test research materials, and to provide research services as required by the agency for programs in infectious diseases.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grantee funds. The application form for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientst and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. Research Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the sciences related to infectious diseases. National Research Service Awards (Individuals) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Awards (Institutional) may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Universities, colleges, hospitals, laboratories and other public or private nonprofit domestic institutions including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are now eligible, with the exception of NRSA and BRSG programs. Individual NRS awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRS awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree and post-doctorals must have a professional or scientific degree (M.D.,Ph.D.,D.D.S.,D.O.,D.V.M.,Sc.D.,D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. Applicants for Individual NRS Awards must include their academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., in their applications. The applicant for an Institutional NRS grant must specify the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For grants, contact the headquarters office listed below. The standard application forms as furnished by the Federal agency, and required by OMB Circular No. A-102 must be used for the research grants program by those applicants which are State or local units of government.

**Application Procedure:** Use Form PHS 398 (PHS-5161-1 for State and local government units) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from NIH Bethesda MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR Part 74.

**Award Procedure:** Applications are reviewed for scientific merit by an appropriate initial review group and, in the case of grants and NRS Awards, by the Advisory Council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant or applicant institution.

**Deadlines:** Research grant applications must be received 8 or 9 months prior to the September/October, January/February or May Council reviewing the application. Deadlines for applications are indicated in the instructions.

**Range of Approval/Disapproval Time:** 8 to 9 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to five years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Current legislation requires that the grantee also participates in the cost of each research project. Cost-sharing agreements are individually or institutionally negotiated with the grantee. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Research grant project periods average 3 years; may not be extended beyond 7 years. (Project periods are generally composed of 1 year budget periods.)

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress reports and financial status reports are required.

**Audits:** Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0885-0-1-550.

**Obligations:** (Grants) FY 81 $98,669,000; FY 82 est $99,695,000; and FY 83 est $100,814,000.

**Range and Average of Financial Assistance:** (Grants) $25,685 to $490,098; $95,826. (NRS Awards) $18,080 to $218,018; $42,914.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, a total of 1,161 awards were made to establish, expand, and promote research and research training in bacterial and mycotic diseases, viral diseases, and parasitic diseases and other related areas. An estimated 1,078 awards will be made in fiscal year 1982, and an estimated 990 awards will be made in 1983. In fiscal year 1981, 926 competing research project grant applications were received, and of that number 270 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Gary Thompson, Grants Management Branch, National Institute of Allergy and Infectious Diseases, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7075 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.855, Immunology, Allergic and Immunologic Diseases Research.

**EXAMPLES OF FUNDED PROJECTS:** Studies in microbiology and infectious diseases include: 1) molecular microbiology, which supports basic research in the biochemistry, physiology, and genetics of bacteria and fungi, in the synthesis of new antimicrobial agents through organic chemistry, and in the discovery of new antibiotics from natural sources; 2) bacteriology and mycology, which supports research on a wide variety of problems involved directly or indirectly with diseases of man caused by bacteria and related agents; 3) mycoteriology, which supports research for tuberculosis and leprosy, that are important both to the world's developing countries and also in the United States; 4) bacterial diarrheas, which supports research on the role of adherence of bacteria to the intestinal mucosa and on the pathogenesis and host response of enterotoxin and other diarrheas; and 5) bacterial vaccines, the objective of which is to develop safe and effective vaccines for the prevention of bacterial diseases. Examples include "Physiology of Neisseria Gonorrhoeae", "Staphylococcal and Streptococcal Proteins", Genetics of Reovirus", "Mechanism of Interferon Action", "Genome Associated Protein of an RNA Virus".

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.859 PHARMACOLOGICAL SCIENCES

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 444; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289 g; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 l-1.

**OBJECTIVES:** To provide an improved understanding of the biological phenomena and related chemical and molecular processes involved in the actions of therapeutic drugs and their metabolites as well as to effect the design and synthesis of new medicinal agents.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The research project grant is awarded to an eligible institution in the name of a principal investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds are used for salaries and wages, equipment, supplies, travel and other costs directly required to carry out the research project. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is subject to certain service and pay back provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available on request from the Division of Research Grants, Bethesda, MD 20205.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research projects: Any public or private nonprofit university, college, hospital, laboratory, or other institutions, including State and local units of government, or to any individual. To be eligible for funding, any proposal must first receive favorable recommendations from a scientific review committee and a National Advisory Council. Nonfederal public and private nonprofit domestic organizations may apply for an institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, supplies, etc., are apropriate to carry out the plan. Use grant application Form PHS 398 provided by Division of Research Grants, National Institutes of Health. For applicants for NRS Awards, the academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation of program staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government.

**Application Procedure:** Application forms and information concerning the areas of science being supported may be obtained from the Division of Research Grants, NIH, Bethesda, Maryland 20205, and be submitted to the same address for assessment by a scientific review committee. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** All accepted applications for project grants and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by a National Advisory Council. (Individual NRSA applications are not reviewed by Council.) All approved applications will compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year.

**Deadlines:** July 1 or November 1 for new research projects. Deadlines for National Research Service Awards are indicated in the instructions.

**Range of Approval/Disapproval Time:** About 8 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewal grants are made prior to expiration of any current award.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** National Research Service Awards -none. Research projects, by law, require sharing of costs by grantee institution, as negotiated individually. This program has no statutory formula.

**Length and Time Phasing of Assistance:** All awards are made for 1 year, with additional support (up to four years) depending on recommendation of Advisory Council, successful annual performance, and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and fiscal expenditure reports for continuing projects and final reports on all projects upon conclusion. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Grants are subject to inspection and audit by HHS representatives in accordance with NIH and DHHS policies and procedures.

**Records:** Expenditures and other financial records must be maintained for each award period and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0851-0-1-550.

**Obligations:** (Grants and contracts) FY 81 $39,603,000; FY 82 est $38,054,000; and FY 83 est $35,736,000.

**Range and Average of Financial Assistance:** $5,040 to $1,311,000; $76,000.

**PROGRAM ACCOMPLISHMENTS:** Funded projects support research on molecular mechanisms of drug action, characterization of receptors, new synthetic methodology, and the enzymatic metabolism, body distribution, and excretion of drugs. Emphasis is given to clinical pharmacology, particularly studies on children. A total of 390 research grants, centers, training grants and fellowships, will be funded in fiscal year 1982, and 343 grants and fellowships will be funded in fiscal year 1983. A total of 470 research grants, centers, National Research Service Awards and training awards were funded in 1981. A total of 391 new and competing renewal applications were received during 1981 and 98 new or competing renewals were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 66; 45 CFR 74; NIH Extramural Programs Brochure. Miscellaneous program literature from Headquarters Office. PHS Grants Policy Statement, No. (OS) 76-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. Sara Gardner, Program Director, Pharmacological Sciences, National Institute of General Medical Sciences, NIH, Bethesda, MD 20205. Telephone: (301) 496-7707 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** "New Methods for the Study of Drug Metabolism in Children," "Drug Modulated Extrusion of Cyclic AMP from Red Cells," "ACTH and Related Peptides," and "Cardiac Dysfunctions Caused by Histamine Release."

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.862 GENETICS RESEARCH

**FEDERAL AGENCY: NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 444; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289g; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 l-1.

**OBJECTIVES:** To support basic research ultimately aimed at the prevention, therapy, and control of genetic diseases in man, including those multifactorial illnesses with a strong hereditary component.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The research project grant is awarded to an eligible institution in the name of a principle investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds are used for salaries and wages, equipment, supplies, travel and other costs directly required to carry out the research project. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is subject to certain service and pay back provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available on request from the Division of Research Grants, Bethesda, MD 20205.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research projects: Any public or private nonprofit university, college, hospital, laboratory, or other institutions, including State and local units of government, or to any individual. To be eligible for funding, any proposal must first receive favorable recommendations from a scientific review committee and a National Advisory Council. Nonfederal public and private nonprofit domestic organizations may apply for an institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, supplies, etc., are appropriate to carry out the plan. Use grant application Form PHS 398 provided by Division of Research Grants, National Institutes of Health. For applicants for NRS Awards, the academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for the award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation of program staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. Except for unsolicited proposals, individual requirements are published as part of the procurement announcement.

**Application Procedure:** Application forms and information concerning the areas of science being supported may be obtained from the Division of Research Grants, NIH, Bethesda, Maryland 20205, and be submitted to the same address for assessment by a scientific review committee. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All accepted applications for project grants, research contracts, and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by a National Advisory Council. (Individual NRSA applications are not reviewed by Council.) All approved applications will compete for available funds on the basis of scientific merit. Awards are issued throughout the year.

**Deadlines:** July 1 or November 1 for new research projects; Deadlines for National Research Service Awards are indicated in the instructions.

**Range of Approval/Disapproval Time:** About 8 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewal grants are made prior to expiration of any current award.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** National Research Service Awards none. Research projects, by law, require sharing of costs by grantee institution, as negotiated individually. This program has no statutory formula.

**Length and Time Phasing of Assistance:** All awards are made for 1 year, with additional support (up to 4 years) depending on recommendation of Advisory Council, successful annual performance and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and fiscal expenditure reports for continuing projects and final reports on all projects upon conclusion. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Grants are subject to inspection and audit by HHS representatives in accordance with NIH and DHHS policies and procedures.

**Records:** Expenditures and other financial records must be maintained for each award period and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0851-0-1-550.

**Obligations:** (Grants) FY 81 $121,371,000; FY 82 est $126,996,000; and FY 83 est $129,292,000.

**Range and Average of Financial Assistance:** $5,040 to $1,399,000; $81,000.

**PROGRAM ACCOMPLISHMENTS:** Genetic mapping of the human chromosome, identification of carriers of genetic disease, and control mechanisms for genetic expression in man are under study. A "Human Genetic Mutant Cell Repository" provides seed stocks of well-characterized human tissue culture cells to researchers in the field. A total of 1,207 research grants, centers, fellowships, training grants will be funded in fiscal year 1982, and 1,127 grants and fellowships will be funded in fiscal year 1983. A total of 1,334 research grants, centers, national research service awards and training awards were funded in 1981. A total of 916 new and competing renewal applications were received during 1981 and 356 new or competing renewals were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 of CFR 66; 45 CFR 74; NIH Extramural Programs brochure. Grants Policy Statement, No. (OS) 76-50,000; and miscellaneous program literature from Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Fred Bergmann, Program Director (Genetics), National Institute of General Medical Sciences, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7087 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** "Damaged DNA: The Structure of DNA Cross-Links", "Molecular Conformations of DNA and RNA subunits", "DNA Synthesis and Interaction with Proteins and Drugs", "Mechanism of Induction of Viral and Cellular Functions", and "The Structure of Developmentally Regulated Genes".

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.863 CELLULAR AND MOLECULAR BASIS OF DISEASE RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and Section 444; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289g; Public Health Service Act, Section 472; Public Law 78-410, as amended; 42 U.S.C. 289 l-1.

**OBJECTIVES:** To support research on the structure and function of cells and their component parts, with the expectation that a greater understanding of these aspects will contribute to ultimate control of all forms and manifestations of human disease.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The research project grant is awarded to an eligible institution in the name of a principal investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds are used for salaries and wages, equipment, supplies, travel and other costs directly required to carry out the research project. National Research Service Awards are made directly to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them. Each individual who receives a National Research Service Award is subject to certain service and pay back provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available on request from the Division of Research Grants, Bethesda, MD 20205.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research projects: Any public or private nonprofit university, college, hospital, laboratory, or other institutions, including State and local units of government, or to any individual. To be eligible for funding, any proposal must first receive favorable recommendations from a scientific review committee and National Advisory Council. Nonfederal public and private nonprofit domestic organizations may apply for an institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant for research projects must present a reasoned research plan and furnish evidence that scientific competence, facilities, equipment, supplies, etc., are appropriate to carry out the plan. Use grant application Form PHS 398 provided by Division of Research Grants, National Institutes of Health. For applicants for NRS awards, the academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation of program staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. Except for unsolicited proposals, individual requirements are published as part of the procurement announcement.

**Application Procedure:** Application forms and information concerning the areas of science being supported may be obtained from the Division of Research Grants, NIH, Bethesda, Maryland 20205, and be submitted to the same address for assessment by a scientific review committee. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** All accepted applications for project grants and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by a National Advisory Council. (Individual NRSA applications are not reviewed by Council.) All approved applications will compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year.

**Deadlines:** July 1 or November 1 for new research projects. Deadlines for National Research Service Awards are indicated in the instructions.

**Range of Approval/Disapproval Time:** About 6 to 9 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewal grants are made prior to expiration of any current award.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** National Research Service Awards -- none. Research projects, by law, require sharing of costs by grantee institution, as negotiated individually. This program has no statutory formula.

**Length and Time Phasing of Assistance:** All awards are made for 1 year, with additional support (up to 4 years) depending on recommendation of Advisory Council, successful annual performance, and availability of funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and fiscal expenditure reports for continuing projects, and final reports on all projects upon conclusion. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Grants are subject to inspection and audit by HHS representatives in accordance with NIH and DHHS policies and procedures.

**Records:** Expenditures and other financial records must be maintained for each award period and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0851-0-1-550.

**Obligations:** (Grants) FY 81 $113,084,000; FY 82 est $116,557,000; and FY 83 est $122,796,000.

**Range and Average of Financial Assistance:** $5,040 to $672,000; $74,200.

**PROGRAM ACCOMPLISHMENTS:** Research has included work on the structural basis of enzyme action, the differentiation and function of cell organelles, transport of ions and molecules across cell membranes, the molecular organization of cells, and cell-cell interactions. The use of some of these basic approaches to solve pathologic problems has been fostered. It is anticipated that a total of 1,083 research grants, centers, fellowships, and training grants, will be funded in fiscal year 1982, and 1,038 grants and fellowships will be funded in fiscal year 1983. A total of 1,205 research grants, centers, National Research Service Awards, and training awards were funded in 1981. A total of 876 new and competing renewal applications were received during 1981 and 288 new or competing renewals funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; NIH Extrumual Programs brochure; Award Programs of the NIH; PHS Grants policy Statement, No. (OS) 76-50,000; and miscellaneous program literature from Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Charles Miller, Program Director (Cellular and Molecular Basis of Disease) National Institute of General Medical Sciences, NIH, Bethesda, MD 20205. Telephone: (301) 496-7021 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.371, Biotechnology Research; 13.821, Physiology and Biomedical Engineering; 13.862, Genetics Research.

**EXAMPLES OF FUNDED PROJECTS:** "Biochemical Interrelations of Nucleus and Cytoplasm, Molecular Control of Cell Division and Differentation", "Synthesis and Assembly of Microtubules", "Cell Division and Membrane Proteins", and "Mechanism of Action of Glycosidases".

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives;

the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.864 POPULATION RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sections 301 (a3) and 441; 42 U.S.C. 241 (a3); 42 U.S.C. 298d. Public Health Service Act, Section 472; 42 U.S.C. 289 l-1. Public Health Service Act, Section 1004, 42 U.S.C. 300 (a-2).

**OBJECTIVES:** Population research seeks solutions to the fundamental problems of the reproductive processes and strives to develop and evaluate safer and more effective and convenient contraceptives, and to understand how population dynamics affects the health and well-being of individuals and society.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Grantee agrees to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service as stated in the terms and conditions on the notice of grant award. National Research Service Awards are awarded to individuals for full-time research training in specified biomedical shortage areas. Awardees may utilize some of their time in academic and clinical duties if such work is closely related to their research training. Awards may be made to institutions to enable them to make NRS Awards to individuals selected by them. Each individual awardee is obligated upon termination of the award to comply with certain service and pay back provisions. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Universities, colleges, medical, dental, and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, and individuals. NRSA: Support is provided for academic and research training only, in health and health-related areas which are periodically specified by National Institutes of Health. (See preapplication coordination.) Individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Proposed study must result in biomedical reseach training in specified shortage areas, and may offer opportunity to research health scientists, research clinicians, ets., to broaden their scientific background, or the extend their potential for research in health related-areas. Applicants must be citizens of the United States, or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private institution having staff and facilities suitable to the proposed research training. Domestic organizations may apply for the institutional NRS grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: A research grant application, PHS 398, is to be submitted to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Award: Individual Award: The applicant's academic record, research experience, citizenship, institution sponsorship, etc., should be documented in the application. Institutional Award: The Applicant organization must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuas for award, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Grants: The standard application forms as furnished by the Federal agency and OMB Circular No. A-102 must be used for this program. National Research Service Award: Prior to formal application, an individual must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Individuals must be sponsored by a domestic or foreign institution.

**Application Procedure:** Grants: All completed NIH 398 applications are to be submitted to the Division of Research Grants NIH, Bethesda, MD 20205. National Research Service Award: Application forms and information concerning current areas of science being supported are available from the Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Grants: Each application receives a dual scientific review by non-NIH scientists. Awards are issued by the National Institute of Child Health and Human Development to the grantee institution. National Research Service Award: Applications are reviewed for scientific merit by an appropriate study section and Institute Review Committee. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. (Institutional Awards - same as grants).

**Deadlines:** Grants: July 1, and November. Renewals: October 1. National Research Service Awards: October 1.

**Range of Approval/Disapproval Time:** Grants: From 6 to 9 months. National Research Service Awards: 6 to 9 months.

**Appeals:** Applications may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Grants: Renewal applications are accepted. National Research Service Awards: Individual Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. Institutional Awards may be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually or institutionally negotiated with the grantee. National Research Service Award: None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Grants: Awards are usually made annually with no project period to exceed 5 years in length. National Research Service Award: See Renewals.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual progress reports and financial status reports are required. National Research Service Awards: Reports are required after termination of NRSA to ascertain compliance with the service and pay back provisions. Institutional Awards require annual progress reports and expenditure reports.

**Audits:** Grants: Subject to Federal audit. National Research Service Awards: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Grants: 3 years from date of submission of expenditure report for that year. National Research Service Awards: Documenation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0844-0-1-550.

**Obligations:** (Grants) FY 81 $61,753,000; FY 82 est $64,151,000; and FY 83 est $65,359,000.

**Range and Average of Financial Assistance:** Research project grants: $1,961 to $993,581; $103,363. Individual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of $13,380. The sponsoring institution will be provided, on application, with an allowance of up to $5,000 per year, to help defray the cost of training. No dependency allowances.

**PROGRAM ACCOMPLISHMENTS:** The reproductive sciences program has resulted in advances in the synthesis and use of analogs of the hypothalamic releasing hormone (LHRH), which have potential application for controlling female fertility and infertility. In the area of maternal health, the dangers of smoking while taking contraceptive steroids have been more clearly defined. Research in the social sciences have revealed ties between unwanted pregnancies and other social and behavioral problems. In fiscal year 1981, 660 new and competing renewal research grant applications were reviewed and 214 were awarded funds. An additional 348 non-competing research grants were funded. Estimated awards for competing and non-competing research grants in fiscal year 1982 and fiscal year 1983 are 560 and 506 respectively. In fiscal year 1981, 9 new and competing renewal training grant applications were reviewed and 11 were awarded funds. An additional 57 non-competing training grants were funded. Estimated awards for competing and non-competing training grants in fiscal year 1982 and fiscal year 1983 are 64 and 52 respectively. Estimated full-time-equivalents for training are 188 in 1982 and 173 in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; Public Health Service Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Donald E. Clark, Chief, Office of Grants and Contracts, National Institute of Child Health and Human Development, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5001 (use same 7-digit number FTS).

**RELATED PROGRAMS:** 13.865, Research for Mothers and Children.

**EXAMPLES OF FUNDED PROJECTS:** Oogenesis and Gene Control in animal reproduction; Influence of Prolactin on the testis; Determinants of Adolescent Pregnancy and Childbearing; Developments of orally-active dosage forms for steroids; and Psychosocial Determinants of Adolescent Contraceptive use.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.865 RESEARCH FOR MOTHERS AND CHILDREN

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (a3) and Section 441; 42 U.S.C. 241 (a3); 42 U.S.C. 298d; Public Health Service Act, Section 472; 42 U.S.C. 289l-1.

**OBJECTIVES:** Research for mothers and children strives to improve the health and well-being of mothers, children, and families as the key to assuring a healthy adult population. Research in this field studies the health problems of the period of life from conception through adolescence and centers on the major problems of pregnancy and infancy, developmental biology and nutrition, human learning and behavior, and mental retardation and developmental disabilities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Grantee agrees to administer the grant in accordance with the regulations and policies governing the research grant programs of the Public Health Service as stated in the terms and conditions on the application for the grant. National Research Service Awards: Awarded to individuals for full-time research training in specified biomedical shortage areas. Awardees may utilize some of their time in academic and clinical duties if such work is closely related to their research training. Awards may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual awardee is obligated upon termination of the award to comply with certain service and pay back provisions. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, and individuals. National Research Service Award: Support is provided for academic and research training only, in health and health-related areas which are periodically specified by the National Institutes of Health (see preapplication coordination). Individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Proposed study must result in biomedical research training in specified shortage areas, and may offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background, or to extend their potential for research in health related-areas. Applicants must be citizens of the United States, or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private institution having staff and facilities suitable to the proposed research training. Domestic organizations may apply for the institutional NRS grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: A research grant application, PHS 398, is to be submitted to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Award: Individual Award: The applicant's academic record, research experience, citizenship, institution sponsorship, etc., should be documented in the application. Institutional Award: The applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations, CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. National Research Service Awards: Prior to formal application, an individual must have acceptance at a sponsoring institution by a sponsor who will supervise training. Individuals must be sponsored by a domestic or foreign institution.

**Application Procedure:** Grants: All completed PHS 398 applications are to be submitted to the Division of Research Grants, NIH, Bethesda, MD 20205. National Research Service Awards: Application forms and information concerning current areas of science being supported are available from the Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. This program is subject to the provision of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Grants: Each application receives a dual scientific review by non-NIH scientists. Awards are issued by the National

Institute of Child Health and Human Development to the grantee institution. National Research Service Awards: Applications are reviewed for scientific merit by an appropriate study section or committee and by an Institute Review Committee. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. (Institutional Awards-same as grants).

**Deadlines:** Grants: July 1 and November. Renewals: October 1. National Research Service Awards: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months: National Research Service Awards: 6 to 9 months.

**Appeals:** Applications may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Grants: Renewal applications are accepted. National Research Service Awards: awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. Institutional Awards may be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are individually or institutionally negotiated with the grantee. National Research Service Awards: None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Grants: Awards are usually made annually with no project period to exceed 5 years in length. National Research Service Awards: See Renewals.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual progress reports and financial status reports are required. National Research Service Awards: Reports are required after termination to ascertain compliance with the service and pay back provisions. Institutional Awards require annual progress reports and expenditure reports.

**Audits:** Grants: Subject to Federal audit. National Research Service Awards: Subject to auditing procedures of the sponsoring institution and those of NIH and DHHS.

**Records:** Grants: 3 years. National Research Service Awards: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0844-0-1-550.

**Obligations:** (Grants) FY 81 $103,409,000; FY 82 est $103,070,000; and FY 83 est $103,378,000.

**Range and Average of Financial Assistance:** Research project grants: $3,000 to $1,032,581; $116,156. Individual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of $13,380. The sponsoring institution will be provided, on application, with an allowance of up to $5,000 per year to help defray the cost of training. No dependency allowances.

**PROGRAM ACCOMPLISHMENTS:** Research in the field of maternal health has shed new light on how and when diabetes in a pregnant woman affects the fetus. Child health research has led to the discovery of a fetal substance that way play a role in initiation of human labor, and possible causes of SIDS have been studied. Recent studies supported by the Institute have shown that mental retardation can result from the complex interaction of many biological and behavioral factors. Research has advanced on the causes of poor reading skills in children and on how socioeconomic factors affect obesity in children. In fiscal year 1981, 1007 new and competing research grants were funded. Estimated awards for competing and on-competing research grants in fiscal year 1982 and fiscal year 1983 are 724 and 652 respectively. In fiscal year 1981, 14 new and competing renewal training grant applications were reviewed and 10 were awarded funds. An additional 73 noncompeting training grants were funded. Estimated awards for competing and non-competing training grants in fiscal year 1982 and fiscal year 1983 and 81 and 74 respectively. Estimates full-time-equivalents for training are 348 in 1982 and 342 in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; Public Health Service Grants Policy Statement, No. (OS) 76-50,000; NIH Guide to Grants and Contracts.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Donald E. Clark, Chief, Office of Grants and Contracts, National Institute of Child Health and Human Development, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5001 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.864, Population Research.

**EXAMPLES OF FUNDED PROJECTS:** Maternal nutritional regulation of fetal growth; Fovel and para fovel cues in reading; Inborn errors of metabolism; Stimulus factors in verbal learning of retardates; and Developmental phenomena and the occurrence of SIDS.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to sucessfully pursue the project; the adequacy of the available and proposed facilities and resources, the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.866 AGING RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) (g) and Section 463; Public Law 78-410, as amended; 42 U.S.C. 241; 42 U.S.C. 289 k-4; Public Health Service Act, Section 472, Public Law 78-410, as amended; 42 U.S.C. 289 l-1.

**OBJECTIVES:** The National Institute on Aging is responsible for biomedical, behavioral and epidemiological research, and research training directed toward greater understanding of the aging process, and the diseases, special problems, and needs of the elderly. Three programs have been established to pursue these goals. The biomedical research and clinical medicine program emphasizes the twin goals of understanding aging as a process and of improving the abilities of health care practioners to respond to the diseases and other clincial problems of the aged. The behavioral sciences program supports research which will lead to greater understanding of the social, cultural, economic and psychological factors that affect both the process of growing old and the place of older people in society. The epidemiology program supports research on the epidemiology of health and disease, as well as the interaction of demographic, social and economic factors as they affect the health of the elderly.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research grants are intended to support the direct costs of a project in with an approved budget, plus an appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. National Research Service Awards (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Awards (Institutional) may be made to institutions to enable them to make NRS awards to individuals slected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and payback provisions. Regulations are published in the Code of Federal Regulations, 42 CFR 66.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions both profit and nonprofit, and individuals. National Research Service Award: Support is provided for predoctoral and post doctoral research training. Individual NRS awards may be made to applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional NRS awards may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have a baccalaureate degree. Applicants must be citizens of the United States or admitted for permanent residency individual NRS awardees must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. Nonprofit domestic organizations may apply for the institutional NRS grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: A research grant application, PHS 398, is to be submitted to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Awards: Individual Award: The applicant's record, research experience, citizenship, institution sponsorship, etc., should be documented in the application. Institutional Award: The applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. National Research Service Awards: Prior to formal application, an individual must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Individuals may be sponsored 162 and 115 respectively. An estimated 24 competing training awards will be funded in FY 1982; 16 will be funded in FY 19823.

**Application Procedure:** Grants: An application form, PHS-398, may be requested from the Division of Research Grants, PHS, Bethesda, MD 20205 and should be submitted to the same address when completed. Proposals are reviewed 152 competing research grant awards and 23 competing training awards. the proposed problem to be studied. National Research Service Awards: Application forms and information concerning current areas of science being supported are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address when completed. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Grants and NRS Awards: Each application receives an initial scientific review by non-NIH scientists and a second review by the National Advisory Council on Aging. Awards are issued by the NIA to the grantee institution.

**Deadlines:** Grants: July 1 and November 1. Renewals: October 1. National Research Service Awards: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months; National Research Service Awards: 6 to 9 months.

**Appeals:** Grants and National Research Service Awards: none.

**Renewals:** Grants: Renewal applications are accepted. National Research Service Awards: Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost sharing agreements are individually negotiated with the grantee. National Research Service Award: None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Grant Awards are usually made annually with no project periods to exceed 5 years in length. National Research Service Awards: Institutional awards may be made for up to five years, and individual awards may be made for as many as three years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and pay back provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service pay back provisions.

**Audits:** Grants: Subject to Federal audit. National Research Service Awards: Subject to auditing procedures of the sponsoring institution and those of NIH and DHHS.

**Records:** Grants: 3 years. National Research Service Awards: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0843-0-1-550.

**Obligations:** (Grants) FY 81 $50,187,000; FY 82 est $55,410,000; and FY 83 est $55,005,000.

**Range and Average of Financial Assistance:** Grants: $17,067 to $876,450; $97,719; Individaual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of $13,380. The sponsoring institution will be provided, on application, with an allowance of up to $5,000 per year to help defray the cost of training. No dependency allowances. Institutional Research Fellowship Awards: $31,151 to $150,546; $71,639.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 762 competing research project grant applications were received and 118 were awarded funds. Sixty-four applications for training awards were received in FY 1981; 21 competing training awards were funded. A strong research impetus has been established for Alzheimer's disease and other dementias of aging. Other biomedical research on aging focuses on such areas as immunology, arthritis, and sleep. Recent studies indicate that some immune processes may compensate for age-related declines in other immune processes; that tamoxifen, an estrogen-blocking drug, may aid in the treatment of osteoarthritis; and that sleep apnea and its negative consequences affect a substantial number of older people. Recent behavioral studies indicate that mental decline with age is not inevitable. In fiscal year 1982, the Institute will continue studies in these and other areas; and will put further emphasis on research leading to health maintenance, prevention, and the diagnosis and treatment of diseases and disorders which result in admission to nursing homes. In fiscal year 1981, 411 competing and noncompeting research project grants were awarded. Estimated competing research project grant awards for fiscal years 1982 and 1983 are 62 and 115, respectively. An estimated 24 competing training awards will be funded in FY 1982, and 16 in FY 83.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; Public Health Service Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** For information on biomedical and clinical research, contact Dr. Edward L. Schneider, National Institute on Aging, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4996 (Use same 7-digit number for FTS). For information on behavioral sciences research, contact Dr. Matilda White Riley, same address. Telephone: (301) 496-3136.

**RELATED PROGRAMS:** 13.668, Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs.

**EXAMPLES OF FUNDED PROJECTS:** 1) A research project grant to study neuronal proteins in Alzheimer's disease: This project also is investigating the relationship of presynaptic cholinergic deficiency to neurofibrillary changes. Analytical techniques of protein biochemistry and neuronal cell biology are used to study normal neurofilament proteins, abnormal paired helical filaments and other structural proteins in patients with Alzheimer's disease, age-matched control and in an experimental model. 2) A research project grant to study the effects of aging on T cell maturation: The study is based on a model of thymic maturation in which stem cells migrate to the thymus from bone marrow fetal liver, undergo partial educative maturation, and are exported to peripheral tissues where they gain full immunocompetence. 3) A research project grant to study the effects of exercise on the development of osteoporosis: A group of middle-aged dsubjects are participating in a regimented physical activity program. Bone mineral changes are monitored; dietary information is collected and blood studies conducted; and work capacity tests administered. 4) A research project grant to study age-related decreases in lectin-cholesterol acyltransferase activity (LCAT) and the relationship between LCAT activity and plasma lipid levels in the rat: Rat LCAT is isolated and an immunoassay procedure developed; age related parameters of plasma lipids are defined. 5) A geriatric medicine academic award to develop a comprehensive curriculum in geriatric medicine: The program will encompass all levels of medical education, including clinical fundamentals, basic science courses, and geriatric research opportunities. 6) A research grant on cognitive development and modifiability in adulthood: A series of short-term longitudinal studies is aimed at examining the extent of and conditions for modification of intellectual performance in old age. 7) A research grant on social change, life events, and aging: This project seeks to increase knowledge of how normative age-graded events emerge and are transformed by the historical dynamics of social change. It will also develop and refine quantitative methods for the analysis of time-dependent behavioral processes.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.867 RETINAL AND CHOROIDAL DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act of 1912 as amended.

**OBJECTIVES:** Supports basic and applied research to elucidate the structure and function of the retina in health and disease which includes studies of the structure and metabolism of the photoreceptor cells and their relationship to the underlying pigment epithelium; the mechanism of the retina's response to light and the initial processing of visual information that is transmitted to the visual centers of the brain; inflammation of the uveal tract of the eye consisting of the iris, choroid, and ciliary body; and the vitreous humor. Also supports studies that are aimed at understanding such major causes of blindness as developmental and hereditary disorders of the retina; diabetic retinopathy and other vascular and circulatory abnormalities; myopia; tumors; diseases of the macula; retinal detachment; and inflammatory disorders, including uveitis. A number of clinical trials of the effects of treatment in certain retinal diseases, most notably diabetic retinopathy, are underway.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel, and other expenses, and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grant funds. The application form for a research grant sets forth specific terms and conditions, and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientist and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. Small grant program supports pilot projects, testing of new techniques or feasibility studies of high risk research, which would provide a basis for more extended research. This program is designed to support: clinicians with limited research experience; recently trained or less experienced investigators; investigators whose research career was interrupted and is intended to be resumed; investigators changing field of research; investigators at minority institutions or located in a largely non-research environment; and established investigators needing quick support for a pilot project. Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the science related to vision. National Research Service Awards (individuals) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to make NRS awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grant proposals eligible for support are those concerned with laboratory and clinical research on the causes, diagnosis, and prevention in the particular program area. Universities, colleges, hospitals, laboratories, Federal institutions and other public or private nonprofit and for-profit domestic institutions including State and local units of government are eligible to make application for research grants and career development awards. Foreign institutions may apply for research grants only. The proposal must receive favorable recommendations from the National Advisory Eye Council and the grantee must agree to administer the grant in accordance with prevailing PHS regulations and policies. NRS awards are provided for predoctoral and postdoctoral research training. Individual NRS awards may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRS awards may be made for both predoctoral and postdoctoral reseach training. Predoctoral awardees must have completed the baccalaureate degree. All applicants must be citizens of the United States, or be admitted to the U.S. for permanent residency. Individual NRS awardees must be nominated and sponsored by a federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and nonprofit domestic organizations may apply for the institutional NRS grant. Refer to the NIH NRSA Program Guidelines for further information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Research grants: No credentials or documentation required with application, except for those that the applicant feels will help establish the scientific worth of his proposal. (Career application credentials are the same as those for the individual and institutional NRS application.) (2) Individual NRS applications: The applicants's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (3) Institutional NRS application: The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for the research and small grant programs. This circular applies to those applicants which are State or local units of government. Also, consultation is available from Institute staff. Research grant and career applications from other than State or local units of government in general do not require preapplication coordination. Applications for research centers (core grants) and specialized research centers require preapplication coordination through contact with NEI staff. Prior to making formal application to the NRS programs, individual NRS applicants must be nominated and sponsored by a Federal public or nonprofit institution having staff and facilities appropriate to the proposed research program.

**Application Procedure:** Institutions submit research grant proposals for basic and clinical research. These are reviewed for scientific merit, for evaluation of applicant qualifications, for the adequacy of the research environment, and for the significance of the problem to be studied. Institutions submit career proposals for development of scientists which are reviewed for an evaluation of the applicant's potential, and adequacy of the research training environment. A National Advisory Eye Council provides for final review. An application form, PHS-398, may be requested from the Division of Research Grants for research grant proposals and career proposals. Supplemental instructions for preparing the small grant application must be requested from NEI staff. Application forms and information concerning the NRS program are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing NRS applications are available from NEI, Bldg. 31, Rm. 6A-52, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Recommendations for approval are made by advisory groups for both research, career, and NRS applications. Final approval is made by the Director, NIH. Formal award notices are then transmitted to the concerned parties.

**Deadlines:** July 1 and November 1 for all new research grant applications. Other applications by October 1. Core grant applications by June 1.

**Range of Approval/Disapproval Time:** Approximately 6 to 9 months for research grant and career proposals, and NRS Institutional applications; 6 to 7 months for NRS individual applications; and 4 to 5 months for small grant applications.

**Appeals:** For research grants, small grants, career, and NRS applications, resubmission of revised proposals is necessary.

**Renewals:** For all project grants, and NRS awards (individual and institutional) renewals are made by competitive application and review. Career awards and small grant awards are non-renewable.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** These programs have no statutory formula. Participation by grantees in total cost of project grants is at least five percent. These programs have no matching requirements.

**Length and Time Phasing of Assistance:** Up to 5 years for research grants, developmental career awards, and NRS awards (institutional). Foreign institutions up to three years for research grants. Up to 3 years for NRS postdoctoral awards (individual). Awards to individuals made through an NRS (institutional) may be made for 8 years (5 years as a predoctoral and an additional 3 years as a postdoctoral). New Investigator awards up to 3 years. Small grants limited to one year. Assistance available for each budget period, usually 1 year.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** The grantee supplies progress reports for program analysis, continuation applications, and upon termination of all awards a final report. A report of expenditures is required 90 days after each budget period. Annual Reports of Expenditures for all Institutional NRS awards. NRS awards (institutional) require that a Statement of Appointment for each trainee selected by the Program Director be submitted to the National Eye Institute for each year of training, not to exceed 3 years. Reports are required after termination of the NRS awards.

**Audits:** Research Grants, career awards, and NRS awards are subject to inspection by representatives of DHHS and NIH.

**Records:** The Department of Health and Human Services has recently initiated a record retention requirement of three years after termination of research grants, career awards, and NRS awards. Records must also be maintained for each budget period.

### FINANCIAL INFORMATION:

**Account Identification:** 75-0887-0-1-550.

**Obligations:** (Grants) FY 81 $38,032,000; FY 82 est $40,356,000; and FY 83 est $41,657,000.

**Range and Average of Financial Assistance:** Grants - $10,000 to $300,000; average $73,000. NRS (institutional) - $27,000 to $132,000; average $62,000; NRS (individual) - $13,380 to $18,787, plus $5,000 institutional allowance; $16,000 average. Career Awards - Developmental - $25,000 to $30,000 plus fringe benefits; average $28,000; New Investigator - up to $37,500; average $32,000; Small grants - $15,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, the National Eye Institute will support 393 research grants and career awards, and 36 NRS awards. In fiscal year 1983, the NEI will support 383 research grants and career awards, and 30 NRS awards and small grants. Two very promising major nationwide multi-center clinical trials are in progress to test the safety and effectiveness of the two treatments for diabetic retinopathy, the primary ocular complication of diabetes, to determine how long, after hemmorhage occurs, surgery can be optimally performed, either utilizing photocoagulation or vitrectomy. The NEI received 256 research and training applications in fiscal year 1981, and 114 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52,42 CFR 66; 45 CFR 74. Department Staff Manual "Grants Administration"; DHHS, NEI Guidelines for Small grants Career Programs, Core Centers and Specialized Clinical Centers NEI; Indirect Cost Register, DHHS; NIH Grants Policy Guide - Office for Protection from Research Risks, NIH; "PHS Grants Policy Statement No. (OS) 77-50,000"; "A Guide to Grant and Award Programs of the NIH", 1067 NEI; Research, Career, NRS Application Kits - NIH. Additional information available upon request.

### INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Ronald Geller, Associate Director for Extramural and Collaborative Programs, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4903. (Use same 7-digit number for FTS.) Dr. Israel Goldberg, Chief, Retinal and Choroidal Diseases Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5983. (Use same 7-digit number for FTS). Anna Marie Perrell, Chief, Extramural Services Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5884. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Currently funded projects include studies on the vascular, inflammatory and neoplastic disorders of the retina (e.g., Diabetic Retinopathy, Uveitis and Retinoblastoma); developmental and hereditary disorders of the retina (e.g., Retinitis Pigmentosa); macular degeneration; retinal detachments and disorders of the vitreous; retinal pigment epithelium; photoreceptors, visual pigments and phototransduction; retinal organization, neurotransmission and adaptation; noninvasive techniques in the study of retinal disorders; toxic, nutritional and environmental disorders of the retina; the rescue and regeneration of damaged retinal neurons; and, glial cells and the retinal microenvironment.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives;

the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.868 CORNEAL DISEASES RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act of 1912 as amended.

**OBJECTIVES:** Included within this program for research are diseases of the cornea, which occur frequently and are perhaps the leading cause of blindness worldwide, and of the external ocular structures, including the conjunctiva and lids. One of the most difficult corneal diseases to treat is that caused by the herpes simplex virus. Often characterized by periodic acute recurrences, herpes simplex infections of the cornea account for more sickness and loss of vision than any other corneal infection in Western countries. Other conditions of concern in this program are inflammatory disorders of the cornea and external eye; dry eyes and tear abnormalities; disorders of the corneal epithelium; refractive problems and contact lenses; corneal edema, distrophies, and inherited disorders; corneal transplantation and injury and repair of the corneal stroma; and tumors and other problems of the lids, conjunctive and orbit. Research supported by the NEI related to corneal diseases includes studies of immunologic mechanisms, corneal opacification, edema and improved means of drug delivery. Other important areas of corneal research include epidemiologic investigations, studies of the tear film and tumor virology and immunology.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel, and other expenses, and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grant funds. The application form for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientist and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. Small grant program supports pilot projects, testing of new techniques or feasibility studies of high risk research, which would provide a basis for more extended research. This program is designed to support: clinicians with limited research experience; recently trained or less experienced investigators; investigators whose research career was interrupted and is intended to be resumed; investigators changing field of research; investigators at minority institutions or located in a largely non-research environment; and established investigators needing quick support for a pilot project. Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the sciences related to vision. National Research Service Awards (Individuals) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grant proposals eligible for support are those concerned with laboratory and clinical research on the causes, diagnosis, and prevention in the particular program area. Universities, colleges, hospitals, laboratories, federal institutions, public or private nonprofit and for profit domestic institutions including state and local units of government are eligible to make application for research grants and career development awards. Foreign institutions may apply for research grants only. The proposal must receive favorable recommendations from the National Advisory Eye Council and the grantee must agree to administer the grant in accordance with prevailing PHS regulations and policies. NRS awards are provided for predoctoral and postdoctoral reserach training. Individual NRS awards may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRS awards may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All applicants must be cititzens of the United States, or be admitted to the U.S. for permanent residency. Individual NRS awards must be nominated and sponsored by a federal, public or private nonprofit institution having staff and facilities suitable to the proposed research traimging. Federal and nonprofit domestic organizations may apply for the institutional NRS grant. Refer to the NIH NRSA program guidelines for further information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Research grants: No credentials or documentation required with application, except for those that the applicant feels will help establish the scientific worth of his proposal. Career application credentials are the same as those for the individual and institutional NRS application. (2) Individual NRS application: The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (3) Institutional NRS application: The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for the research and small grant programs. This circular applies to those applicants which are State or local units of government. Also, consultation is available from Institute staff. Research grant and career applications from other than State or local units of government in general do not require preapplication coordination. Applications for research centers (core grants) and specialized research centers require preapplication coordination through contact with NEI staff. Prior to making formal application to the NRS programs, individual NRS applicants must be nominated and sponsored by a Federal, public or nonprofit institution having staff and facilities appropriate to the proposed research training program.

**Application Procedure:** Institutions submit research grant proposals for basic and clinical research. These are reviewed for scientific merit, for evaluation of applicant qualifications, for the adequacy of the research environment, and for the significance of the problem to be studied. Institutions submit career proposals for development of scientists which are reviewed for an evaluation of the applicant's potential, and adequacy of the research training environment. A National Advisory Eye Council provides for final review. An application form, PHS-398, may be requested from the Division of Research Grants for research grant proposals and career proposals. Supplemental instructions for preparing the small grant application must be requested from NEI staff. Application forms and information concerning the NRS program are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing NRS applications are available from NEI, Bldg. 31, Rm. 6A-52, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Recommendations for approval are made by advisory groups for both research, career and NRS applications. Final approval is made by the Director, NIH. Formal award notices are then transmitted to the concerned parties.

**Deadlines:** July 1 and November 1 for all new research grant applications. Other applications by October 1. Core grant application by June 1.

**Range of Approval/Disapproval Time:** Approximately 6 to 9 months for research grant and career proposals, and NRS Institutional applications; 6 to 7 months for NRS Individual applications; and 4 to 5 months for small grant applications.

**Appeals:** For research grants, small grants, career and NRS applications, resubmission of revised proposals is necessary.

**Renewals:** For all project and NRS awards (individual and institutional) renewals are made by competitive application and review. Career awards and small grant awards are non-renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** These programs have no statutory formula. Participation by grantees in total cost of project grants is at least five percent. These programs have no matching requirements.

**Length and Time Phasing of Assistance:** Up to 5 years for research, grants, developmental career awards, and NRS awards (institutional). Foreign institutions up to three years for research grants. Up to 3 years for NRS postdoctoral awards (individual). Awards to Individuals made through an NRS (Institutional) may be made for 8 years (5 years as a predoctoral and an additional 3 years as a postdoctoral). New Investigator awards up to 3 years. Small grants limited to one year. Assistance available for each budget period, usually 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The grantee is responsible for progress reports. These are needed for program analysis as part of all continuation applications and upon termination of all awards. In addition, a final report is required. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the results, positive and negative, which are considered significant by the investigator, and a list of any publications resulting from the projects. Also, a report of expenditures is required 90 days after each budget period. Annual Reports of Expenditures for all Institutional NRS awards. NRS awards (institutional) require that a Statement of Appointment for each trainee selected by the Program Director be submitted to the National Eye Institute for each year of training, not to exceed three years. Reports are required after termination of the NRS awards to ascertain compliance with the service and pay back provisions for each institutionally selected trainee Reports are required after termination of the NRS award to ascertain compliance with the service and pay back provisions.

**Audits:** Research Grants, career awards, and NRS awards are subject to inspection by representatives of DHHS and NIH.

**Records:** The Department of Health and Human Services, has recently initiated a record retention requirement of three years after termination of research grants, career awards, and NRS awards. Records must also be maintained for each budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0887-0-1-550.

**Obligations:** (Grants) FY 81 $16,769,000; FY 82 est $17,369,000; and FY 83 est $17,814,000.

**Range and Average of Financial Assistance:** Research Grants $6,000 to $300,000; average $73,000; NRS (institutional) - $27,000 to $132,000; average $62,000; NRS (individual) - $13,380 to $18,787, plus $5,000 institutional allowance; $16,000 average. Career Awards-Developmental - $25,000 to $30,000 plus fringe benefits; average $28,000; New investigator - up to $37,500; average $32,000; Small grants - $15,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, the National Eye Institute will support 157 research grants and career awards, and 9 NRS awards. In fiscal year 1983, the NEI will support 160 research grants and career awards, and 11 NRS awards. Research in all mechanisms has focused primarily on normal corneal development; reparative processes that control the cornea's response to infection, injury or surgery; modification of refractive errors of the cornea by contact lenses or surgical procedures; and critical factors that might retard or prevent the onset of swelling, neovascularization and scarring in corneal disease or trauma. The NEI received 106 research and training applications in fiscal year 1981, and 55 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; Department Staff Manual "Grants Administration"; DHHS, NEI Guidelines for Small grants, Career programs, Core Centers and Specialized Clinical Centers - NEI; Indirect Cost Register, DHHS; NIH Grants Policy Guide - Office for Protection from Research Risks, NIH; "PHS Grants Policy Statement; "A Guide to Grant and Award Programs of the NIH", 1067 - NEI; Research, Career, NRS Application Kits - NIH. Additional information available upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. Ronald Geller, Associate Director for Extramural and Collaborative Programs, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4903. (Use same 7-digit number for FTS.) Dr. Ralph J. Helmsen, Chief, Anterior Segment Diseases Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5303. (Use same 7-digit number for FTS). Anna Marie Perrell, Chief, Extramural Services Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5884 (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A research project grant for development of an alternative approach for treating ocular herpes during the latent phase of the disease: The objective of this research is to couple horseradish peroxidase to various chemically synthesized radiolabelled antiviral drugs and study the transport of these conjugates up the axons of the trigeminal neurons to its ganglion. the hope of this research is to inactivate the latent virus at the ganglion level and thus prevent recurrent ocular infections. A project grant for the study of the chemistry and biology of the collagens in the corneal: This research uses the developing chick cornea as a model for studying the factors that modulate the production and establishes the ratio between various types of collagens in individual layers of the cornea. Such studies will lay the foundation for the design of therapies for achieving diverse effects within the anterior segment of the eye such as an acceleration of wound healing or alleviation of an inherited corneal dystrophy.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives: the technical adequacy of the experimental design and approach; the competency of the proposed investigatior or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.869 CATARACT RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act of 1912 as amended.

**OBJECTIVES:** Although cataract surgery is one of the most successful operations performed, this condition remains among the leading causes of blindness in the United States. For this reason, the NEI is emphasizing research aimed towards the prevention and nonsurgical treatment of cataract. The NEI's cataract research program is concerned with a number of different types of cataracts of varying etiology, including aging, diabetes and congenital, metabolic, and genetic factors. Also of interest are cataracts occurring secondary to injury, radiation and other eye disorders; dislocated lenses; and accommodation and optical problems of cataract and aphakia. Considerable attention is being given to studies of the chemistry and biophysics of the normal lens.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel, and other expenses, and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grant funds. The application form for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientist and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. Small grant program supports pilot projects, testing of new techniques or feasibility studies of high risk research, which would provide a basis for more extended research. This program is designed to support: clinicians with limited research experience; recently trained or less experienced investigators; investigators whose research career was interrupted and is intended to be resumed; investigators changing field of research; investigators at minority institutions or located in a largely non-research environment; and established investigators needing quick support for a pilot project. Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the sciences related to vision. National Research Service Awards (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Awards (institutional) may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual who receives an award is obligated upon termination of the award to comply with certain service and pay back provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grant proposals eligible for support are those concerned with laboratory and clinical research on the causes, diagnosis, and prevention in the particular program area. Universities, colleges, hospitals, laboratories, federal institutions and other public or private nonprofit domestic institutions including State and local units of government are eligible to make application for research grants and career development awards. Foriegn institutions may apply for research grants only. The proposals must meet favorable recommendations from the National Advisory Eye Council and the grantee must agree to administer the grant in accordance with prevailing PHS regulations and policies. NRS awards are provided for predoctoral and postdoctoral research training. Individual NRS awards may be made for applicants who hold a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRS awards may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All Applicants must be citizens of the United States, or be admitted to the U.S. for permanent residency. Individual NRS awardees must be nominated and sponsored by a federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Fedeal and nonprofit domestic organizations may apply for the institutional NRS grant. Refer to the NIR NRSA program guidelines for further information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Research grants: No credentials or documentation required with application, except for those that the applicant feels will help establish the scientific worth of the proposal. (Career application credentials are the same as those for the individual and institutional NRS application). (2) Individual NRS applications - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (3) Institutional NRS application - The applicant institution must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for the research and small grant programs. This Circular applies to those applicants which are State or local units of Government. Also, consultation is available from Institute staff. Research grant and career applications from other than State or local units of government in general do not require preapplication coordination. Applications for research centers (core grants) and specialized research centers require preapplication coordination through contact with NEI staff. Prior to making formal application to the NRS programs, individual NRS applicants must be nominated and sponsored by a Federal, public or nonprofit institution having staff and facilities appropriate to the proposed research training program.

**Application Procedure:** Institutions submit research grant proposals for basic and clinical research. These are reviewed for scientific merit, for evaluation of applicant qualifications, for the adequacy of the research environment, and for the significance of the problem to be studied. Institutions submit career proposals for development of scientists which are reviewed for an evaluation of the applicant's potential, and adequacy of the research training environment. A National Advisory Eye Council provides for final review. An application form, PHS-398, may be requested from the Division of Research Grants for research grant proposals and career proposals. Supplemental instructions for preparing the small grant application must be requested from NEI staff. Application forms and information concerning the NRS program are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing NRS applications are available from NEI, Bldg. 31, Rm. 6A-52, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Recommendations for approval are made by advisory groups for both research, career, and NRS applications. Final approval is made by the Director, NIH. Formal award notices are then transmitted to the concerned parties.

**Deadlines:** July 1 and November 1 for all new research grant applications. Other applications by October 1. Core grant applications by June 1.

**Range of Approval/Disapproval Time:** Approximately 6 to 7 months for grant and career proposals and NRS institutional applications; 6 to 7 months for NRS individual applications; and 4 to 5 months for small grant applications.

**Appeals:** For research grants, small grants, career, and NRS applications, resubmission of revised proposals is necessary.

**Renewals:** For all project grants and NRS awards (individual and institutional) renewals are made by competitive application and review. Career awards and small grant awards are non-renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** These programs have no statutory formula. Participation by grantees in total cost of project grants is at least five percent. These programs have no matching requirements.

**Length and Time Phasing of Assistance:** Up to 5 years research grants, developmental career awards, and NRS awards (institutional). Foreign institutions up to three years for research grants. Up to 3 years for NRS postdoctoral awards (individual). Awards to individuals made through an NRS (institutional) may be made for 8 years (5 years as a predoctoral and an additional 3 years as a postdoctoral). New Investigator, awards up to 3 years. Small grants limited to one year. Assistance available for each budget period, usually 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The grantee is responsible for progress reports. These are needed for program analysis as part of all continuation applications and upon termination of all awards. In addition, a final report is required. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the results, positive and negative, which are considered significant by the investigator, and a list of any publications resulting from the projects. Also a report of expenditure required 90 days after each budget period. Annual Reports of Expenditures for all Institutional NRS awards. NRS awards (institutional) require that a Statement of Appointment for each trainee selected by the Program Director be submitted to the National Eye Institute for each year of training, not to exceed three years. Reports are required after termination of the NRS awards to ascertain compliance with the service and pay back provisions for each institutionally selected trainee. Reports are required after termination of the individual NRS awards to ascertain compliance with the sevice and pay back provisions.

**Audits:** Research Grants, career awards, and NRS awards are subject to inspection by representatives of DHHS and NIH.

**Records:** The Department of Health and Human Services has recently initiated a record retention requirement of 3 years after termination of grants, career awards, and NRS awards. Records must also be maintained for each budget period.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0887-0-1-550.

**Obligations:** (Grants) FY 81 $9,721,000; FY 82 est $10,449,000; and FY 83 est $10,494,000.

**Range and Average of Financial Assistance:** Research Grants - $10,000 to $300,000: average $73,000; NRS (institutional)-$27,000 to $132,000; average $62,000; NRS (individual)-$13,380 to $18,787, plus $5,000 institutional allowance; $16,000 average. Career awards - Developmental - $25,000 to $30,000 plus fringe benefits; average $28,000; New Investigator - up to $37,500; average $32,000; Small grants - $15,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, the National Eye Institute will support 98 research grants and career awards and 6 NRS awards. In fiscal year 1983, the NEI will support 95 research grants and career awards, and 8 NRS awards. Progress has been made in the elucidation of the initiating factors in diabetic and sugar cataracts. Potent inhibitors of aldose reductase delay or prevent formation of cataracts in diabetic or galactosemic animals. The aggregation of protein is considered to be responsible for light scattering and opacification. Significant advances have been made into the detailed nature of protein changes that lead to aggregation. The NEI received 56 research and training applications in fiscal year 1980, and 28 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74. Department Staff Manual "Grants Administration"; DHHS, NEI Guidelines for Small Grants, Career Programs, Core Centers and Specialized Clinical Centers-NEI; Indirect cost Register, DHHS; NIH Grants Policy Guide - Office for Protection from Research Risks, NIH; "PHS Grants Policy Statement; "A Guide to Grant and Award Programs of the NIH," 1067-NEI; Research, Career, NRS application Kits-NIH. Additional information available upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. Ronald Geller, Associate Director for Extramural and Collaborative Programs, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4903. (Use same 7-digit number for FTS.) Dr. Ralph J. Helmsen, Assistant Chief, Anterior Segment Diseases Branch, National Eye Institute, National Institutes of Health. Bethesda, MD 20205. Telephone: (301) 496-5303. (Use same 7-digit number for FTS.) Anna Marie Perrell, Chief, Extramural Services Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5884. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) A research project for the examination of the metabolic basis for catract formation in the intact lens: The objectives of this research are to utilize phosphorus-31 nuclear magnetic resonance spectroscopy to examine mechanisms of cataract formation; identify and quantify all of the phosphatic metabolites which contribute to the phosphorus magnetic resonance profile; and study the metabolic sequalae associated with cataract formation in the human pathologic condition. 2) A cooperative clinical research study for the establishment of a Cooperative Cataract Research Group: The objectives of this research are to make human lenses available to those who have difficulty in obtaining samples; to establish a method to classify human cataracts and to record them by photography; to establish a data processing system accessible to all members of the consortium; and to make biochemical analyses of human lenses comparing cataractous lenses with normal ones. Two clinical trials are continuing to determine the best method of making intraocular lens implants after cataract surgery.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.870 GLAUCOMA RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act of 1912 as amended.

**OBJECTIVES:** Although the numerous forms of glaucoma have diverse etiologies and include primary and secondary types, research concerns common to all the glaucomas are optic nerve and vision changes, the hydrodynamics of the aqueous humor and methods of medical and surgical treatment.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel, and other expenses, and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grant funds. The application form for a research grant sets forth specific terms and conditions, and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientist and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the sciences related to vision. Small grant program supports pilot projects, testing of new techniques or feasibility studies of high risk research, which would provide a basis for more extended research. This program is designed to support: clinicians with limited research experience; recently trained or less experienced investigators; investigators whose research career was interrupted and is intended to be resumed; investigators changing field of research; investigators at minority institutions or located in a largely non-research environment; and established investigators needing quick support for a pilot project. National Research Service Awards (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and pay back provisions.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Research grant proposals eligible for support are those concerned with laboratory and clinical research on the causes, diagnosis, and prevention in the particular program area. Universities, colleges, hospitals, laboratories, Federal institutions, public or private nonprofit and for profit domestic institutions including State and local units of government are eligible to make application for research grants and career development awards. Foreign institutions may apply for research grants only. The proposal must receive favorable recommendations from the National Advisory Eye Council and the grantee must agree to administer the grant in accordance with prevailing PHS regulations and policies. NRS awards are provided for predoctoral and postdoctoral research training. Individual NRS awards may be made for applicants who hold a professional or scientific degree (M.D., Ph.D.,D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRS awards may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All applicants must be citizens of the United States, or be admitted to the U.S. for permanent residency. Individuals NRS awardees must be nominated and sponsored by a federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and nonprofit domestic organizations may apply for the institutional NRS grant. Refer to the NIH NRSA program guidelines for further information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Research grants: No credentials or documentation required with application, except for those that the applicant feels will help establish the scientific worth of the proposal. (Career application credentials are the same as those for the individual and institutional NRS application.) (2) Individual NRS applications - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (3) Institutional NRS applications - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for the research and small grant programs. This Circular applies to those applicants which are State or local units of government. Also, consultation is available from Institute staff. Research grant and career applications from other than State or local units of government in general do not require preapplication coordination. Applications for research centers (core grants) and specialized research centers require preapplication coordination through contact with NEI staff. Prior to making formal application to the NRS programs, individual NRS applicants must be nominated and sponsored by a Federal or nonprofit institution having staff and facilities appropriate to the proposed research training program.

**Application Procedure:** Institutions submit research grant proposals for basic and clinical research. These are reviewed for scientific merit, for evaluation of applicant qualifications, for the adequacy of the research environment, and for the significance of the problem to be studied. Institutions submit career proposals for development of scientists which are reviewed for an evaluation of the applicant's potential, and adequacy of the research training environment. A National Advisory Eye Council provides for final review. An application form, PHS-398, may be requested from the Division of Research Grants for research grant proposals and career proposals. Supplemental instructions for preparing the small grant application must be requested from NEI staff. Application forms and information concerning the NRS program are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing NRS applications are available from NEI, Bldg. 31, Rm. 6A-52, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110, as implemented by 45 CFR 74.

**Award Procedure:** Recommendations for approval are made by advisory groups for both research, career and NRS applications. Final approval is made by the Director, NIH. Formal award notices are then transmitted to the concerned parties.

**Deadlines:** July 1 and November 1 for all new research grant applications. Other applications by October 1. Core grant applications by June 1.

**Range of Approval/Disapproval Time:** Approximately 6 to 7 months for research grant and career proposals, and NRS Institutional applications; 6 to 7 months for NRS Individual Applications; and 4 to 5 months for small grant applications.

**Appeals:** For research grants, small grants, career, and NRS applications, resubmission of revised proposals is necessary.

**Renewals:** For all project grants and NRS awards (individual and institutional) renewals are made by competitive application and review. Career awards and small grant awards are non-renewable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** These programs have no statutory formula. Participation by grantees in total cost of project grants is at least 5 percent. These programs have no matching requirements.

**Length and Time Phasing of Assistance:** Up to 5 years research grants, developmental career awards, and NRS awards (institutional). Foreign institutions up to 3 years for vision grants. Up to 3 years for NRS postdoctoral awards (individual). Awards to Individuals made through an NRS (Institutional) may be made for 8 years (5 years as a predoctoral and an additional 3 years as a postdoctoral). New Investigator awards up to 3 years. Small grants limited to one year. Assistance available for each budget period, usually 1 year.

POST ASSISTANCE REQUIREMENTS:

**Reports:** The grantee is responsible for progress reports. These are needed for program analysis as part of all continuation applications and upon termination of all awards. In addition, a final report is required. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the results, positive and negative, which are considered significant by the investigator, and a list of any publications resulting from the projects. Also a report of expenditures is required 90 days after each budget period. Annual Reports of Expenditures for all Institutional NRS awards. NRS awards (institutional) requires that a Statement of Appointment for each trainee selected by the Program Director be submitted to the National Eye Institute for each year of training, not to exceed 3 years. Reports are required after termination of the NRS awards to ascertain compliance with the service and pay back provisions for each institutionally selected trainee. Reports are required after termination of the individual NRS awards to ascertain compliance with the service and pay back provisions.

**Audits:** Research grants, career awards, and NRS awards are subject to inspection by representatives of DHHS and NIH.

**Records:** The Department of Health and Human Services has recently initiated a record retention requirement of 3 years after termination of research grants, career awards, and NRS awards. Records must also be maintained for each budget period.

FINANCIAL INFORMATION:

**Account Identification:** 75-0887-0-1-550.

**Obligations:** (Grants) FY 81 $9,950,000; FY 82 est $11,395,000; and FY 83 est $11,449,000.

**Range and Average of Financial Assistance:** Research grants - $10,000 to $300,000; average $73,000; NRS (institutional)-$27,000 to $132,000; average $62,000; NRS individual-$13,380 to $18,787; plus $5,000 institutional allowance; $16,000 average. Career awards - Developmental - $25,000 to $30,000 plus fringe benefits, average

$28,000; New investigator - up to $37,500, average $32,000; Small grants - $15,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, the National Eye Institute will support 90 research grants and career awards and 10 NRS awards. In fiscal year 1983, the NEI will support 92 research grant and career awards, and 8 NRS awards. Research in this program is centered on primary open-angle glaucoma and the mechanism by which intraocular pressure is regulated. The immediate objective of research in this area is the improved diagnosis and medical control of this disease. The NEI received 63 research and training applications in FY 1981, and 33 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; Department Staff Manual "Grants Administration;" DHHS, NEI Guidelines for Small Grants, Career Programs, Core Centers, and Specialized Clinical Centers - NEI; Indirect Cost Register, DHHS, NIH Grants Policy Guide - Office for Protection from Research Risks, NIH; PHS Grants Policy Statement; "A Guide to Grant and Award Programs of the NIH", 1067-NEI; Research, Career, NRS Application Kits-NIH. Additional information available upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Ronald Geller, Associate Director for Extramural and Collaborative Programs, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4903. (Use same 7-digit number for FTS.) Dr. Ralph J. Helmsen, Chief, Anterior Segment Diseases Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5303. (Use same 7-digit number for FTS.) Anna Marie Perrell, Chief, Extramural Services Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5884. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) A research project for the study of trabecular meshwork: objectives are to establish lines of trabecular endothelial cells in culture from glaucoma patients and normal people, to characterize the cells according to their structural and biological characteristics, to examine extracellular materials produced by the cells, and to study drug and hormone effects on the cells. 2) Three separate research projects - the objectives of each are to conduct a controlled clinical trial to establish the safety, efficacy and best uses of drugs controlling intraocular pressure and glaucoma: the drugs are timolol, carbonic anhydrase inhibitors, and combination of timolol epinehrine. 3) A research project to determine if the mechanism of optic nerve damage in glaucoma is due primarily to ischemia or to mechanical effects. Changes in axonal transport and ultra-structure are being monitored on monkey eyes subjected to elevations of intraocular pressure. 4) A research project to study compliance with glaucoma therapy asks if patients take their drugs as prescribed, how often they skip an application of eyedrops, and which times are most often missed. This study employs an microelectronic device, conceaaled in the drug dispenser, which records the time of delivery of each drop of the drug over a period of a month. 5) A research project for studying the physiology of aqueous humor dynamics by a clinical fluorophotometric methods. This project is determining the extent to which the various processes involved in controlling intraocular pressure are affected by drugs used to treat glaucoma. 6) A research project for studies of laser iridotomy: the objectives of this study are to test a new Q-switched ruby laser for iridotomy to relieve angel-closure glaucoma and to compare results with those obtained by use of an argon laser, and to establish treatment parameters in primates. The status of the eyes is being monitored by ophthalmologic, histochemical and ultrastructural procedures. The procedure will then be evaluated in clinical trial. 7) An individual National Research Service Award to develop an animal model for iris neovascularization will be made. Training will include devising reliable methods for producing neovascularization in cat eyes, measuring ocular oxygen tension and determining its role in neovascularization, and application of histologic and ultrastructural techniques to follow the progress of the induced disease.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.871 STRABISMUS, AMBLYOPIA AND VISUAL PROCESSING

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act of 1912 as amended.

**OBJECTIVES:** This program encompasses a broad range of studies concerned with the structure and function of the neural pathways from the retina to the brain, the central processing of visual information, visual perception, optical properties of the eye, functioning of the pupil and control of the ocular muscles. A large number of congenital, developmental and degenerative abnormalities affect the visual sensorimotor system, but three disorders are of primary concern: strabismus, amblyopia and nystagmus. These are frequent causes of visual impairment among children which may persist for life. Of particular interest are studies of the normal development of visual capacity in the infant and the effects of early sensory deprivation on the development of visual function.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** There is no precise limitation on the dollar value of research grants that may be awarded to any one investigator or institution. Research grants provide funds for salaries, equipment, supplies, travel, and other expenses, and afford the collateral benefits of enriching the training and experience of research workers. Grantees are expected to be judicious in using grant funds. The application form for research grants sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. The scientist and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. Small grant program supports pilot projects, testing of new techniques or feasibility studies of high risk research, which would provide a basis for more extended research. This program is designed to support clinicians with limited research experience; recently trained or less experienced investigators; investigators whose research career was interrupted and is intended to be resumed; investigators changing field of research; investigators at minority institutions or located in a largely non-research environment; and established investigators needing quick support for a pilot project. Career Development Awards support the development of scientists during the formative stages of their careers and who demonstrate an outstanding research potential for careers of independent research in the sciences related to vision. National Research Service Awards (Individuals) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRS Awards to individuals selected by them. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and payback provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research grant proposals eligible for support are those concerned with laboratory and clinical research on the causes, diagnosis, and prevention in the particular program area. Universities, colleges, hospitals, laboratories, Federal institutions and other public or private nonprofit and for-profit domestic institutions including State and local units of government are eligible to make applications for research grants and career development awards. Foreign institutions may apply for research grants only. The proposal must receive favorable recommendations from the National Advisory Eye Council and the grantee must agree to administer the grant in accordance with prevailing PHS regulations and policies. NRS awards are provided for predoctoral and postdoctoral research training. Individual NRS awards may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRS awards may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All applicants must be citizens of the United States, or be admitted to the U.S. for permanent residency. Individual NRS awardees must be nominated and sponsored by a Federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and nonprofit domestic organizations may apply for the institutional NRS grant. Refer to the NIH NRSA program guidelines for futher information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Research grants: No credentials or documentation required with application, except for those that the applicant feels will help establish the scientific worth of the proposal. (Career application credentials are the same as those for the individual and institutional NRS application). (2) Individual NRS applications - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. (3) Institutional NRS applications: The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for an award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for the research and small grant programs. This Circular applies to those applicants which are State or local units of government. Also, consultation is available from Institute staff. Research grant and career applications from other than State or local units of government in general do not require preapplication coordination. Applications for research centers (core grants) and specialized research centers require preapplication coordination through contact with NEI staff. Prior to making formal application to the NRS programs, individual NRS programs and individual NRS applicants must be nominated and sponsored by a Federal, public or nonprofit institution having staff and facilities appropriate to the proposed research training program.

**Application Procedure:** Institutions submit proposals for basic and clinical research. These are reviewed for scientific merit, for evaluation of applicant qualifications, for the adequacy of the research environment, and for the significance of the problem to be studied. Institutions submit career proposals for development of young scientists which are reviewed for an evaluation of the applicant's potential, and adequacy of the research training environment. A National Advisory Eye Council provides for final review. An application form, PHS-398, may be requested from the Division of Research Grants for research grant proposals and career proposals. Supplemental instructions for preparing the small grant application must be requested from NEI staff. Application forms and information concerning the NRS program are available from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing NRS applications are available from NEI, Bldg. 31, Rm. 6A-52, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Recommendations for approval are made by advisory groups for research, career and NRS applications. Final approval is made by the Director, NIH. Formal award notices are then transmitted to the concerned parties.

**Deadlines:** July 1 and November 1 for all new research grant applications. Other applications by October 1. Core grant applications by June 1.

**Range of Approval/Disapproval Time:** Approximately 6 to 7 months for grant and career proposals, and NRS Institutional applications; 6 to 7 months for NRS Individual applications; and 4 to 5 months for small grant applications.

**Appeals:** For research grants, small grants, career and NRS applications, resubmission of revised proposals is necessary.

**Renewals:** For all project grants and NRS awards (individual and institutional), renewals are made by competitive application and review. Career awards and small grant awards are non-renewable.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** These programs have no statutory formula. Participation by grantees in total cost of project Grants is at least five percent. These programs have no matching requirements.

**Length and Time Phasing of Assistance:** Up to 5 years for research grants, developmental career awards, and NRS awards (institutional). Foreign institutions up to 3 years for research grants. Up to three years for NRS postdoctoral awards (individual). Awards to individuals made through an NRS (Institutional) may be made for 8 years (5 years as a predoctoral and an additional 3 years as a postdoctoral). New investigator awards up to three years. Small grants limited to one year. Assistance available for each budget period, usually 1 year.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** The grantee is responsible for progress reports. These are needed for program and analysis as part of all continuation applications and upon termination of all awards. In addition, a final report is required. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the results, positive and negative, which are considered significant by the investigator, and a list of publications resulting from the projects. Also a report of expenditures required 90 days after each budget period. Annual Reports of Expenditures of all institutional NRS awards. NRS awards (institutional) require that a statement of appointment for each trainee selected by the Program Director be submitted to the National Eye Institute for each year of training, not to exceed 3 years. Reports are required after termination of the NRS awards to ascertain compliance with the service and pay back provisions for each institutionally selected trainee. Reports are required after termination of the individual NRS awards to ascertain compliance with service and pay back provisions.

**Audits:** Grants, career award and NRS awards are subject to inspection by representatives of DHHS and NIH.

**Records:** The Department of Health and Human Services has recently initiated a record retention requirement of three years after termination of grants, career awards, and NRS awards. Records must also be maintained for each budget period.

### FINANCIAL INFORMATION:

**Account Identification:** 75-0887-0-1-550.

**Obligations:** (Project grants) FY 81 $23,126,000; FY 82 est $24,764,000; and FY 83 est $25,212,000.

**Range and Average of Financial Assistance:** Research grants $10,000 to $300,000; average $73,000; NRS (institutional)-$21,000 to $132,000; average $62,000; NRS (individual)-$13,380 to $18,787, plus $5,000 institutional allowance; $16,000 average. Career Awards-Developmental-$25,000 to $30,000 plus fringe benefits; average $28,000; New investigator - up to $37,500; average $32,000; Small grants - $15,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, the National Eye Institute will support 260 research grants and career awards, and 23 NRS awards. In fiscal year 1983, the NEI will support 250 research grants and career awards and 20 NRS awards. Research has been directed toward understanding the mechanisms of visual processing and the disorders that affect it. This includes basic research on molecular, genetic, chemical, cellular and integrative mechanisms of the nervous system, studies of visual behavior and its development, studies of conjugates and vergence eye movements and accommodation. Clinical, as well as the basic research supported by this program, is aimed at developing improved methods for preventing, diagnosing and treating visual disorders such as amblyopia, optic neuropathies, strabismus, neuroophthalmological disorders and refractive errors. In addition, the NEI wishes to encourage research on the rehabilitation of blind persons and those with low vision. The NEI received 144 research and training applications in fiscal year 1981, and 83 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; Department Staff Manual "Grants Administration"; DHHS, NEI Guidelines for Small Grants Career Programs, Core Centers and Specialized Clinical Centers - NEI; Indirect Cost Register, DHHS; NIH Grants Policy Guide - Office for Protection from Research Risks, NIH; "PHS Grants Policy Statement; "A Guide to Grant and Award Programs of the NIH", 1067 - NEI; Research, Career, NRS Application Kits - NIH. Additional information available upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Ronald Geller, Associate Director for Extramural and Collaborative Programs, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4903. (Use same 7-digit number for FTS) Dr. Constance W. Atwell, Chief, Strabismus, Amblyopia, and Visual Processing Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5303. (Use same 7-digit number for FTS.) Anna Marie Perrell, Chief, Extramural Services Branch, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5884. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) A research project grant to examine the neural mechanisms of vision: the role of synaptic transmitter substances in the visual system. This study will include examination of the effects of neurotransmitter antagonists. 2) A research project grant to study the functional organization of the extrastriate visual cortex. This project is utilizing anatomical and electrophysiological approaches along with radioactive tracers to examine the internal organizations of four regions of the brain that have been identified as being important in vision. 3) A research project grant to characterize cone-dominated and rod-dominated visual systems - this project seeks by psychophysical means to examine how color vision occurs, as well as to destinguish the visual input of the rods, which is monochromatic, from the chromatic aspects of vision that originate from the cones. 4) A research project grant to study human oculomotor disorders. The approach will apply control systems analysis to quantitiative measurements of eye movements obtained in both clinical and experimental contexts. 5) A research project grant to measure visual acuity for grating and stereoscopic targets in infants and young children at high risk for developing amblyopia. Children with ocular disorders such as congential cotaract and strabismus will be tested before and at various times after treatment for these disorders to monitor effects on development of their visual capacities.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.878 SOFT TISSUE STOMATOLOGY AND NUTRITION RESEARCH

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Sec. 301(c), Public Law 78-410, as amended.

**OBJECTIVES:** To develop new knowledge which may lead to improved treatment and/or prevention of oral soft tissue diseases and conditions, determine the effect of nutritional variation(s) on development, function and health of the oralfacial complex; provide a better understanding of the structure and function of salivary glands and their secretions and determine the physiology, metabolism and morphology of the mineralization process.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for profit institutions. Awards include investigator-initiated Project Grants, Program Project Grants and Special dental Research Awards. National Research Service (NRS) Awards are made directly to individuals for research training in specified biomedical areas. In addition, grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives an NRS award is obligated upon termination of the award to comply with certain service and payback provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility;** Grants: Scientists at universities, hospitals, laboratories, and other public or private nonprofit and for profit institutions. Applications are competitively rated on the basis of scientific merit and grants must be approved by the National Advisory Dental Research Council. NRSA: (1) nonprofit domestic organizations may apply for the institutional NRS grant; (2) individual NRS awardees must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program; (3) all awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence; (4) to be eligible, postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must represent the applicant's competence and interest. NRSA: (1) individual NRS Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application; (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. This program is subject to the provisions of OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Announcements of program interests are published in NIH "Guide to Grants and Contracts". Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by those applicants which are State or local units of government. NRSA: Individual - Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Applicants may be sponsored by a nonprofit institution. Institutional - None.

**Application Procedure:** Research Grants: Request application Form PHS 398 from: Application Control Office of applicant institution or Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7723. NRSA: Applications forms for individual or institutional NRS awards and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205, and be submitted to the same address. This program is subject to the provisions of OMB Circular No. A-110, as implementeed by 45 CFR 74.

**Award Procedure:** Grants: All applications competing for funds are reviewed by two advisory groups composed of nongovernment scientists and laymen. Secondary review is by the National Advisory Dental Research Council which recommends to the Director, NIH, those applications considered worthy of support. NRSA: All accepted applications are reviewed by an appropriate initial review group and Advisory Council.

**Deadlines:** Grants: New and Supplemental: July 1 and November 1; Renewals: October 1. NRSA: Deadlines: Individual and Institutional: October 1.

**Range of Approval/Disapproval Time:** Grants: 6 to 9 months.

**Appeals:** Grants: Applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Grants: Applications for approval beyond the approved project period must be submitted at least 6-9 months in advance of the termination date. NRSA: Institutional awards may be made for up to 5 years. No individual may receive NIH, NRSA support at the postdoctoral level for more than 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants: Current legislation requires that the grantee also participate in the cost of each research project. Cost sharing agreements are individually negotiated with the grantee. NRSA: None. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project period. If additional support is desired to continue the project beyond the approved project period, an application for renewal (PHS-398 must be submitted in accordance with the deadline dates and instructions attached to the form. NRSA: See Renewals, above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grants: Annual and terminal reports on progress, expenditures, and inventions. NRSA: Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:** Grants and NRSA's: Subject to auditing procedures of the sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Grants: Records must be kept for at least 3 years after termination of support. NRSA: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0873-0-1-550.

**Obligations:** (Grants) FY 81 $6,497,000; FY 82 est $7,527,000; and FY 83 est $8,260,000.

**Range and Average of Financial Assistance:** Grants: $15,000 to $300,000; $66,000. NRSA: $10,000 to $200,000; Average $55,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 approximately 74 research grant applications were received, 27 were awarded; 3 career award applications were received, 1 was awarded; 5 individual applications for training were received and 5 were awarded; 3 Institutional Training applications were received and 1 was awarded. Approximately 72 research grants, 5 reseauhulated awards, 10 individual awards, and 5 institutional awards will be supported in fiscal year 1982. It is anticipated that approximately 76 research grants; 4 researdulated awards, 12 individual and 5 institutional training awards will be supported in fiscal year 1983. In a prospective study of a symptomatic oral lesion, it was found that the detection rate of oral cancer increased several fold once it was possible to identify the size, appearance, and high risk locations. These findings should help clinicians in their efforts to improve the cure rate of oral cancer through early detection programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Grants and NRSA's: Extramural Programs, National Institute of Dental Research, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-7807. Contact: David Frazier, D.D.S.

**RELATED PROGRAMS:** 13.840, Caries Research; 13.841, Periodontal Diseases Research; 13.842, Craniofacial Anomalies Research; 13.843, Restorative Materials Research; 13.844, Pain Control and Behavioral Studies; 13.845, Dental Research Institutes.

**EXAMPLES OF FUNDED PROJECTS:** Influence of acid base status on fluoride metabolism; Hormones, bone cell interactions and bone mineralization; Dietary protein, osteoporosis, and periodontal disease; and Lymphocyte function and recurrent aphthous stomatitis.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of; the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.879 MEDICAL LIBRARY ASSISTANCE

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title III, Part J, Section 390(b)(1) - (6), and Sections 393 - 397; Public Law 89-291; 42 U.S.C. 280a; as amended by Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To improve health information services by providing funds to train professional personnel, strengthen library resources, support biomedical publications, and conduct research in ways of improving information transfer.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** For all mechanisms of support, the award and use of funds is subject to applicable provisions of basic statutory authorities, appropriation acts, applicable regulations and operating policies of the Department of Health and Human Services, the Public Health Service, the National Institutes of Health and the National Library of Medicine. A Resource Grant may be made to establish a library or to expand or improve present libraries which have inadequate resources relative to their needs and user population. A grant may be given to an institution on behalf of its library or to an institution on behalf of a group of libraries under a formal consortium arrangement. Funds may be used for acquisition of books and journals and development of the consortium. A resource project grant may be made for service or technical improvements. Project funds may be used for personnel, audiovisual hardware and software, and other project expenses. Grant funds may not support audiovisual production, construction, binding, indirect costs, depreciation, or foreign travel. Scientific Publication Grants support nonprofit scientific writing and publications projects related to health fields. Primary or secondary journals and monographs may be supported in the field of biomedical communications. Secondary information projects are eligible in other health fields. These include critical reviews, tools to the health literature such as abstracts, indices, bibliographies, atlases, catalogs, data compendia, dictionaries, directories, manuals, translations and other secondary publications in the broad health sciences. Serial publications may receive support for a limited number of years. Support may be requested for direct costs as specified under National Institutes of Health and National Library of Medicine policies and regulations, including equipment, supplies, publication costs, salaries, consultant fees and expenses, and travel, etc. (Reference Department of Health and Human Services, Publication No. (DHHS) (OS) 77-50,000, "Public Health Service Grants-Policy Statement," October 1, 1976. Research Grants for basic and applied research projects are available to support investigations into more effective methods for disseminating health knowledge. These grants are awarded to support innovative pilot projects to translate experimental results into actual operation. The New Investigator Research Grant Program is designed to reach the investigator who is seeking independent research support for the first time. The intent is to help bridge the transition from training status to that of a reproductive investigator. The Research Career Development Award is a special full-time salary grant (up to $30,000 plus fringe benefits and 8 percent indirect cost) to enhance the research capability of individuals in the formative stages of their careers who have demonstrated outstanding potential for research contributions. The general areas of research include biomedical librarianship and information science, application of new technologies, biomedical communications, and information activities relating to continuing education. Support may be requested for allowable direct costs of such projects, as specified under National Institutes of Health and National Library of Medicine policies and regulations for research grants, including equipment, supplies, personnel, travel, etc., as justified by the nature and scope of the project. Special Scientific Project Grants provide support for scholarly assessment, description, and synthesis of topics of broad health interest. Work can be on the scientific, political, economic, and cultural aspects of human health. Salary, secretarial assistance, supplies, travel, related direct costs of research and writing. For specific restrictions contact National Library of Medicine program office. Training Grants promote the integration of computer technology into all phases of clinical medicine --teaching, practice, and research. Priority will be given to projects designed for teachers or potential faculty members in the health sciences. Grant support may be awarded to health profession schools qualified to conduct the proposed training activities. These schools are expected to have a well-established computer facility, a strong research and education program, experienced staff and faculty, and fundamental courses available in related areas such as education technology, communication science and information science. These grants provide support for trainee stipends, computer time and travel, etc.; costs to develop and maintain the programs may also be provided, including staff salary costs; supplies, materials, etc. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters field office of the appropriate funding agency for further information on statutory or other restrictions involved.

### ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** For Resource Grants: any public or private nonprofit institution which maintains or plans to establish a collection or provide services to clientele in the health professions. For Scientific Publications Grants: Appropriate public or private nonprofit institution of higher education may apply in behalf of the principal investigator on the project, and, in unusual circumstances, individuals may apply directly. For Research Grants: Public or private nonprofit institutions with research capabilities in health information fields. Grants may not be made to profit making institutions or organizations. For Special Scientific Grants: Outstanding scientists and scholars in health sciences and other disciplines related to health, or appropriate public or private nonprofit institutions in behalf of such individuals. Training Grants may be made to non-Federal public and nonprofit private institutions. Trainees must be citizens or noncitizen nationals of the United States or have been lawfully admitted to the United States for permanent residence at the time of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None, with the exception of Research Grants and Resource Grants for which costs will be determined in accordance with HHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None, with the exception of Research Grants and Resource Grants for which the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used if the applicant is a State or local government.

**Application Procedure:** For Resource Project Grants, Scientific Publications Grants, Research Grants, and SSP's, Application Form PHS-398 is submitted to the Division of Research Grants, NIH, Bethesda, MD 20205; for Resources Improvement Grants, NIH-1887 is submitted to that address; for Training Grants, use PHS Form 6025. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Applications are evaluated for merit by a committee of non-Federal experts and for program relevance by the Board of Regents of the National Library of Medicine. If favorably recommended, the application is considered for funding. An award notice (Form NIH 2007) is prepared when it is determined that a grant is to be paid. This notice is sent to the grantee with a letter from the program officer when special provisions are necessary.

**Deadlines:** New applications: July 1 and November 1. Renewal: October 1.

**Range of Approval/Disapproval Time:** From 6 to 9 months.

**Appeals:** Not applicable.

**Renewals:** Application follows same procedures as new applications; dates for submission are indicated above. Extensions without funds can be requested.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** For Resource Improvement Grants, each institution of a consortium or an individual institution is limited to $4,000 with which to purchase informational materials and with the provision that the institution match on a 4:1 basis. For Research Grants current legislation requires that the grantee also participate in the cost of each research project. Cost-sharing agreements are negotiated individually with the grantee. There are no formula and matching requirements for Training Grants, Scientific Publications Grants, or Special Scientific Grants.

**Length and Time Phasing of Assistance:** Not more than 2 years for Resource Improvement Grants; 1 to 3 years for Resource Project Grants. For Scientific Publications Grants awards beyond a maximum of 3 years only considered in exceptional circumstances. For Research Grants, no more than 5 years of support is given. For Special Scientific Projects one or multiple year funding is made. For Training Grants 1 to 5 years and renewable.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** Annual Grant progress reports, expenditure reports, and a terminal report are required.

**Audits:** Grants are subject to inspection and audit by HHS representatives at any time during the assistance period.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept readily available for examination by personnel authorized to examine DHHS grant accounts in an institution, for a period of 3 years after each budget period or until audit.

### FINANCIAL INFORMATION:

**Account Identification:** 75-0807-0-1-550.

**Obligations:** (Grants) FY 81 $6,831,000; FY 82 est $5,000,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** $4,000 to $200,000; $55,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 138 Library Assistance, Biomedical Communications Research, Training, and Scientific Publication awards were made. There will be 99 awards made in fiscal year 1982, and 99 awards will be made in fiscal year 1983. In fiscal year 1982, it is estimated that 187 new and competing Medical Library Assistance applications will be received and 36 will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; National Library of Medicine Grant Programs, Publications Grant Description , no charge. PHS Grants Policy Statement, No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Extramural Programs, National Library of Medicine, Bethesda, MD 20209. Contact: Dr. Jeanne Brand for Scientific Publications, Telephone: (301) 496-6131, and Dr. Roger Dahlen for all other programs. Telephone: (301) 496-4221.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A RESOURCE GRANT: To acquire adequate, up-to-date materials in any appropriate format for the educational needs of the entire hospital staff and medical doctors, and to provide space for materials and functions associated with a new hospital library consortium. A SCIENTIFIC PUBLICATION GRANT: to prepare a book-length critical review of health care policy making, specifically those aspects concerning existing validation studies of group decision processes and their resulting consensual judgments. The 200-page study will be published by a university press. A RESEARCH GRANT: to develop, implement, and evaluate a relatively "non-invasive" system to study and identify educational needs in drug prescribing patterns of physicians and to provide informational feedback based on these identified needs. A SPECIAL SCIENTIFIC PROJECT: to collect and assemble material for a book-length manuscript oriented toward the current status and historical perspectives of our national policies and priorities for R and D efforts for health, particularly the current preoccupation with development and utilization of sophisticated diagnostic and therapeutic technologies. A TRAINING GRANT: to train persons who will integrate computer technology into all phases of clinical medicine. Interdisciplinary training at the postdoctoral and predoctoral levels in the health computer sciences is provided.

**CRITERIA FOR SELECTING PROPOSALS:** Relevance to program objectives; impact on the transmission of biomedical information; ability of project director; scientific or technical merit of project; and adequacy of budget. Comparative priorities on the above criteria based on collective judgment of nonfederal peers.

## 13.880 MINORITY ACCESS TO RESEARCH CAREERS (MARC)

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Sections 301(c), 444 and 472 of the Public Health Service Act of 1921; Public Law 78-410 as amended; 42 U.S.C. 241, 289g, and 289 1-1.

**OBJECTIVES:** To assist minority institutions to: (a) train greater numbers of scientists and teachers in health related fields, and (b) increase the number of minority students who can compete sucessfully for entry into graduate programs which lead to the Ph.D. degree in biomedical science fields.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** National Research Service Awards are made directly to individuals for research training in specified biomedical areas. In addition, grants may be made to institutions to enable them to make National Research Service Awards to individuals selected by them, who are third- and fourth-year undergraduate honor students and who intend to pursue a Ph.D. degree in the biological sciences. Each individual who receives a National Research Service Award is subject to certain service and pay back provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available upon request from the Division of Research Grants, Bethesda, MD 20205.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any nonfederal public or private nonprofit 4-year university or college may apply for the institutional National Research Service Grant. To be eligible for funding, any proposal must first receive favorable recommendations from a scientific review committee and a National Advisory Council. Individual National Research Service Awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, postdoctorals must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For applicants for NRS Awards, the academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training, etc., must be included in the application. The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in developing individuals for award, and a detailed budget and justification for the amount of grant funds requested.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation of program staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Division of Research Grants, NIH, Bethesda, MD 20205 and be submitted to the same address for assessment by a scientific review committee. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All accepted applications for National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by a National Advisory Council. All approved applications will compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year.

**Deadlines:** October 1, February 1 or June 1 for National Research Service Awards.

**Range of Approval/Disapproval Time:** Approximately 6 to 9 months.

**Appeals:** Grant applications not favorably recommended may be revised and resubmitted. Additional time for review is 6 to 9 months.

**Renewals:** Renewal grants are made prior to expiration of any current award.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** National Research Service Awards - none. This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** All awards except Visiting Scientist Awards, are made for 1 year, with additional support (up to 4 years) depending on recommendation of review panel, successful annual performance, and availability of funds. Visiting Scientist Awards are usually 3 to 12 months in duration.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and fiscal expenditure reports for continuing projects and final report on all projects upon conclusion. Reports are required after termination of NRSA to ascertain compliance with service and pay back provisions.

**Audits:** Grants are subject to inspection and audit by HHS representatives in accordance with NIH and DHHS policies and procedures.

**Records:** Expenditures and other financial records must be maintained for each award period and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0851-0-1-550.

**Obligations:** (Grants) FY 81 $4,515,000; FY 82 est $5,641,000; and FY 83 est $6,274,000.

**Range and Average of Financial Assistance:** $4,100 to $100,000.

**PROGRAM ACCOMPLISHMENTS:** The program supports graduate training awards in disciplines ranging from cell and molecular biology to the area of clinical pharmacology. The Honors Undergraduate Research Training Grants provide support to minority students in order to enable them to compete successfully for entrance into graduate programs leading to the Ph.D. degree in the biomedical sciences. Support for predoctoral fellowships is also available to selected graduates of the MARC Honors Undergraduate Program. In addition, the program supports visiting scientists and faculty fellows of whom about half are at the postdoctoral level. It is anticipated that a total of 60 National Research Service Awards and training grants will be funded in fiscal year 1982, and 70 National Research Awards will be funded in fiscal year 1983. A total of 69 National Research Service Awards and training awards were funded in 1981. A total of 46 new and competing renewal applications were received during 1981 and 21 new awards were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; NIH Extramural Programs Brochures and miscellaneous program literature from Headquarters Office. PHS Grants Policy Statement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Elward Bynum, Program Director (MARC Program), National Institute of General Medical Sciences, NIH, Bethesda, MD 20205. Telephone: (301) 496-7941 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.375, Minority Biomedical Support.

**EXAMPLES OF FUNDED PROJECTS:** Institutional Training, Honors Undergraduate Research, Predoctoral Training Grants, Faculty Fellowships, and Visiting Scientist.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components required in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.884 GRANTS FOR RESIDENCY TRAINING IN GENERAL INTERNAL MEDICINE AND/OR GENERAL PEDIATRICS

### (Primary Care Training)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 784; as amended by Public Law 97-35 90 Stat. 2315.

**OBJECTIVES:** Grants are made to promote the graduate education of physicians who plan to enter the practice of General Internal Medicine or General Pediatrics.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may not be used for construction, patient services and student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An accredited public or private nonprofit school of medicine or school of ostepathic medicine, or a public or private nonprofit hospital or other entity; and, located in a State. Each allopathic program must be fully or provisionally approved by the Accreditation Council for Graduate Medical Education. Each ostepathic program must be approved by the American Osteopathic Association.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Schools must be accredited by a recognized body or bodies approved for such purposes by the Secretary of Education, or a letter of reasonable assurance of accreditation from the Secretary of Education. Hospitals must be accredited by the Joint Commission on Accreditation of Hospitals or the American Ostepathic Associations. Costs will be determined in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Central Office and Regional Office Staff. The standard application forms as furnished by the Federal agency must be used for this program.

**Application Procedure:** Submit application in accordance with instructions specified in the application kits which may be obtained from Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing. A Notice of Grant Award will be issued from Headquarters Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions.

**Range of Approval/Disapproval Time:** From 4 to 6 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during approved budget period. Payment is made by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports must be submitted annually. Reports of expenditures required within 90 days after end of each budget period.

**Audits:** Grants are subject to inspection and audit by representative of HHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports and 3 years after final disposition of nonexpendable property. If questions remain such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $19,305,000; FY 82 est $16,320,000; and FY 83 est $11,412,000.

**Range and Average of Financial Assistance:** $11,647 to $618,336; $219,375.

**PROGRAM ACCOMPLISHMENTS:** There were 52 continuations and 59 competitive applications received in fiscal year 1981. There were 52 continuations and 36 new awards made in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS regulations (Title 42, Part 57, Subpart FF) and "Grants for Residency Training in General Internal and/or General Pediatrics" Program Guide. Final Regulation Published 8/1/80.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator (See Appendix IV for listing).

**Headquarters Office:** Director, Division of Medicine, Bureau of Health Professions, Health Resources Administration, Public Health Service, DHHS, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782 Program Contact: Dr. Kenneth Moritsugu. Telephone: (301) 436-6418. Grants Management Contact: John R. Westcott. Telephone: (301) 436-6564 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** All projects are funded to meet the objectives as stated above.

**CRITERIA FOR SELECTING PROPOSALS:** Competing applications are initially reviewed by non-Federal consultants whose recommendations are considered by the National Advisory Council on Health Professions Education. Approval of any application will be based on an analysis of the following factors: 1) The potential effectiveness of the proposed project in carrying out the training purposes of Section 784 of Act; 2) The extent of responsiveness to the project and application requirements; 3) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; 4) The qualifications of the proposed staff and faculty; and 5) The potential of the project to continue on a self-sustaining basis.

## 13.886 GRANTS FOR PHYSICIAN ASSISTANT TRAINING PROGRAM

### (Physician Assistant Training Program)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 783; as amended by Public Law 97-35; 90 Stat. 2314.

**OBJECTIVES:** To enable public or nonprofit private health or educational entities to meet the cost of projects to plan, develop, and operate or maintain programs for the training of physician's assistants.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may not be used for construction, patient services and student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be State and local government entity, or nonprofit private health or educational entity.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Program must be accredited or have a letter of support by the AMA or have received a letter of support from the Joint Review Committee on Educational Programs for the Physician's Assistant. Program must also meet definition of an educational program for Physician's Assistant as defined in Section 701 of Title VII, of the PHS Act. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For others, costs will be determined in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Central Office and Regional Office Staff. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments.

**Application Procedure:** Submit application in accordance with instructions specified in the application kits which may be obtained from Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing. A Notice of Grant Award will be issued from Headquarters Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions.

**Range of Approval/Disapproval Time:** From 4 to 6 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during approved budget period. Payment is made by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports must be submitted annually. Financial status reports required within 90 days after end of each budget period.

**Audits:** Grants are subject to inspection and audit by representative of HHS.

**Records:** Financial records must be kept available for 3 years after submission of financial status reports and 3 years after final disposition of nonexpendable property. If questions remain such as those raised as a result of the audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $8,019,000; FY 82 est $84,800,000; and FY 83 est $4,405,000.

**Range and Average of Financial Assistance:** $45,360 to $429,051; $200,475.

**PROGRAM ACCOMPLISHMENTS:** 35 continuations and 21 competetive applications were received in fiscal year 1981. There were 35 continuation and 5 competitive applications awarded in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** PHS Regulations (Title 42, Part 57 Subpart I); And "Grants For Programs For The Training Of Physician's Assistants" Program Brochure.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator (see Address Appendix IV of the Catalog for listing).

**Headquarters Office:** Director, Division of Medicine, Bureau of Health Professions, Health Resources Administration, Public Health Service, DHHS, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr. Kenneth Moritsugu. Telephone: (301) 436-6418 (Use same 7-digit numbr for FTS). Grants Management Contact: John R. Westcott. Telephone: (301) 436-6564.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Projects to train physician assistants.

**CRITERIA FOR SELECTING PROPOSALS:** Competing applications are initially reviewed by non-Federal consultants, whose recommendations are considered by the National Advisory Council on Health Professions Education. Approval of any application will be based on an analysis of the following factors: 1.) the degree to which the project plan adequately provides for meeting Project Requirements; 2.) the potential effectiveness of the project in carrying out the purposes of Section 783 of the PHS Act; 3.) the capability of the applicant to carry out the proposed project; 4.) the extent to which the proposed project addresses local, regional, and national needs, including those identified by the HSA and/or State Health Planning and Development Agency of the State or States in which the project will encourage graduates to practice; 5.) the extent to which the project has developed a deployment system or plan for placing graduates in health manpower shortage areas; 6.) the soundness of the fiscal plan for assuring effective utiliziation of grant funds; and 7.) the potential of the project to continue on a self-sustaining basis after the period of grant support.

## 13.891 ALCOHOL RESEARCH CENTER GRANTS

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Comprehensive Alcohol Abuse and Alcoholism Prevention Treatment and Rehabilitation Act of 1970, Title V, Section 504, Public Law 91-616, as amended; 42 U.S.C. 4588.

**OBJECTIVES:** To provide long-term support for a concerted and multi-disciplinary research effort into the problems of alcohol use and alcoholism by coordinating the activities of investigators from biomedical, behavioral, and social science disciplines around a basic research theme. An alcohol research center is expected to realize its greater potential for contributing to the basic store of knowledge about alcohol and alcoholism and to become a significant regional and national resource.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Alcohol research center grant funds may be used for support of core resources including, for example, salaries of center personnel, services and facilities shared by center personnel, and program enrichment activities such as symposia and special features. Support for individual projects may include staff salaries, supplies, publication, travel and equipment. Funds may not be used for training, although the applicant is required to demonstrate an institutional training capacity related to alcohol. Funds may not be used for purchase or rental of any land or the rental purchase, construction, preservation or repair of any building, and grantees must have sufficient laboratory facilities and reference services to carry out the grant. Support will be provided for an initial period of 5 years (renewable for subsequent 5-year period) to qualifying centers selected for funding. No annual grant may exceed $1,500,000. The actual amount of support awarded will depend upon the appropriateness of the proposed center budget to the approved Center program, as well as the availability of funds.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, any domestic (non-Federal) public or nonprofit private institution may apply for a center grant. However, the proposed center must be affiliated with an institution, such as a university, medical center, or research center, that has the resources to sustain a long-term coordinated research program around a central theme related to problems of alcohol use and alcoholism. An applicant institution must demonstrate the ability to attract high quality scientists from biomedical, behavioral, and social science disciplines who are willing to make a long-term commitment to alcohol research. An applicant must also have a detailed 5-year research plan. In addition, the applicant must assure that alcoholism related research and clinical training opportunities will be available.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of nonprofit status. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. Section 74.171 of that subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the NIAAA is not mandatory, but is encouraged. The standard application forms as furnished by DHHS and required by OMB Circular No. A-102 must be used by grant applicants that are State and local governments.

**Application Procedure:** Application Form PHS-398 is to be used following "Instructions for Preparing an Alcohol Research Center Grant Application." An application kit is available on request from the Extramural Branch, NIAAA. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants in support of approved applications are awarded directly to the applicant institution by the National Institute on Alcohol Abuse and Alcoholism.

**Deadlines:** Deadlines for receipt of applications are July 1 and November 1. Applications received after the deadlines will be carried over into the next review cycle.

**Range of Approval/Disapproval Time:** The time from receipt of application to final action is approximately 8 months.

**Appeals:** Applicant may revise and resubmit grant applications.

**Renewals:** Support is recommended for a specified project period of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** The normal project period for an alcohol research center grant is 5 years. Grantees may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Payments will be made either on a Monthly Cash Request System or under a Letter of Credit. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Centers will be required to submit detailed annual progress reports (including substantive information about research results to date, status of ongoing research, research plans for the next year and any modifications in long-term research plans). Also, inventions reporting, reports of expenditures, final reports, and other reports are required to be filed in accordance with PHS policy.

**Audits:** External or internal audits must be made of the grantee organization in accordance with generally accepted auditing standards of the U.S. General Accounting Office's publication "Standards for Audit of Governmental Organizations, Programs, Activities and Functions". These audits should be at scheduled intervals, usually once a year, but must be at least every two years. A copy of each audit report and a description of its resolution, shall be furnished to the appropriate regional office of the HHS audit agency. Grants are also subject to periodic inspection and audit by Federal auditors.

**Records:** Three-year record retention requirements; records shall be retained beyond the 3-year period if audit findings have not been received.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $6,000,000; FY 82 est $5,976,000; and FY 83 est $8,000,000.

**Range and Average of Financial Assistance:** $478,736 to $1,127,406; $666,667.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 9 applications were received and nine alcohol research center grants were awarded. In fiscal year 1982 it is estimated that 10 grants will be awarded and in fiscal year 1983 the estimate is 10 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR Part 54a, Subpart E; Guidelines are included in application kits.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of these programs.

**Headquarters Office:** Division of Extramural Research, Acting Director, Dr. Gian Salmoiraghi, National Institute on Alcohol Abuse and Alcoholism, Alcohol, Drug Abuse, and Mental Health Administration, PHS, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4897 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.271, Alcohol Research Scientist Development and Research Scientist Awards; 13.272, Alcohol National Research Service Awards for Research Training; 13.273, Alcohol Research Programs; 13.274, Alcohol Clinical or Service Related Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** Genetic approaches to neuropharmacology of ethanol, effects of alcohol on the central nervous system, the etiology of alcoholism and pathologic epidemiology of alcohol problems.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific/technical merit, the feasibility of the research, alcoholism implications and relevance to NIAAA priorities and public health issues are all considerations in determining what projects will be funded.

## 13.892 PREDICTION, DETECTION AND ASSESSMENT OF ENVIRONMENTALLY CAUSED DISEASES AND DISORDERS

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410, as amended; 42 U.S.C. 241.

**OBJECTIVES:** To provide the scientific basis for effective forecasting technology. Identification of sources and understanding of the dynamics of transport and conversion of contaminants are key factors in the development of new knowledge required for the resolution of present and future environmentally induced health problems. New technologies, new chemical substances, and changing human exposure patterns must be identified and evaluated as rapidly and accurately as possible in order to protect the health of this and future generations. Technology surveillance and disease forecasting capabilities are an essential ingredient in this effort.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research grants are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Research Career Development Awards: These awards in an amount up to $30,000 (plus fringe benefits and 8 percent indirect cost) are made to institutions to provide stable salary support for the development of young scientists with potential for careers of independent research. Supplementation from non-NIH funds is allowed. Mid-Career Development Awards - Environmental Toxicology: These awards in an amount up to $30,000 (plus fringe benefits and 8 percent indirect costs) are made to institutions to provide salary and supplies support for individuals with research expertise in biomedical sciences who wish to move into careers in environmental toxicology. Supplementation from non-NIH funds is allowed. For all mechanisms of support the award and use of funds is subject to applicable provisions of basic statutory authorities, appropriation acts, pertinent regulations, and operating policies of DHHS, PHS, NIH, and the National Institute of Environmental Health Sciences.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research Grant, Research Career Development Awards, and Mid-Career Development Awards-Environmental Toxicology: A university, college, hospital, State or local government, nonprofit research institution, or for-profit organization may submit an application and receive a grant for support of research by a named principal investigator. Candidates for Career Development Awards must have at least 3 years relevant postdoctoral experience.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Research Grants, Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: Applications must be signed by appropriate officials of the grantee institution. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State and local units of government.

**Application Procedure:** Research Grants and Awards: Application forms and instructions for their submission are available from the Division of Research Grants, NIH, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Grants and Awards: Made on the basis of a dual review of an investigator-prepared application. The reviews are made by peer groups: The first by a study section for scientific merit; the second by an advisory council for program relevance. Final approval of these recommendations and decisions concerning funding are made by the Director, NIEHS. Formal award notices are sent to successful applicants.

**Deadlines:** Research Grants: New and supplemental applications: July 1 and November 1; Renewal applications: October 1. Research Career Development Awards and Mid-Career Development Award-Environmental Toxicology: October 1.

**Range of Approval/Disapproval Time:** Research Grants and Awards: 6 to 9 months.

**Appeals:** Research Grants and Awards: Applications not favorably recommended may be revised and resubmitted.

**Renewals:** Research Grants: Subject to same criteria as new applications. Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: May not be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Research Grants: Current legislation requires that the grantee participate in the cost of each research project through either an institutional or individual cost-sharing agreement. Awards: Not applicable.

**Length and Time Phasing of Assistance:** Research Grants, Grants may be awarded for up to 5 years generally in 12-month budget periods. May be extended through a competitive renewal. Funds are released primarily on basis of a Letter of Credit. Research Career Development Awards are awarded for 5 years in 12-month budget periods, no renewal. Mid-Career Development Awards-Environmental Toxicology are or up to 3 years in 12-month budget periods, no renewal.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research Grants and Awards: Annual and final progress reports and reports of expenditures are required.

**Audits:** Research Grants and Awards: Subject to auditing procedures of the grantee and sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Research Grants and Awards: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0862-0-1-550.

**Obligations:** (Grants) FY 81 $19,327,000; FY 82 est 22,239,000; and FY 83 est $21,963,000.

**Range and Average of Financial Assistance:** Research Grants: $30,000 to $1,326,000; $109,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 178 research grants and awards were made. In fiscal year 1982 it is anticipated that 194 research grants and awards will be made. In fiscal year 1983, it is anticipated that 195 research grants and awards will be made. In fiscal year 1980, 153 competing applications were considered and 62 were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; NIH Guide to Grants and Contracts; Public Health Service Grants Policy Statement, various other publications and application kits, Division of Research Grants, NIH, Bethesda, MD 20205.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research Grants, Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: Wilford L. Nusser, Ph.D., Associate Director for Extramural Program, National Institute of Environmental Health Sciences, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-7723, FTS 629-7723.

**RELATED PROGRAMS:** 13.859, Pharmacological Sciences; 13.893, Mechanisms of Environmental Diseases and Disorders; 13.894, Environmental Health Research and Manpower Development Resources.

**EXAMPLES OF FUNDED PROJECTS:** 1) Study of environmental chemicals which might act as co-toxicants in the production of biologic effects; 2) epidemiologic studies on the effects of SO2 and respirable particulates on health; 3) the auditory effects of low levels of noise over prolonged periods of exposure; 4) the epidemiology of chronic obstructive respiratory disease; and 5) the relationship between asbestos fiber length and biologic effects.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.893 MECHANISMS OF ENVIRONMENTAL DISEASES AND DISORDERS

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301; Public Law 78-410, as amended; 42 U.S.C. 241.

**OBJECTIVES:** To gain a thorough understanding of the mechanisms involved in disease processes and to prevent or reduce disease caused by environmental agents. After a potential or real hazard is identified, the essential next step is a concerted effort to understand how tissue responds to pathological insult. Once the disease process is understood, means can be taken to either avoid, alter, or possibly correct the condition under which man becomes a victim of his environment. Developing an understanding of the biochemical and biological mechanisms of disease will contribute to the most efficient means of disease prevention; provide information regarding the relative susceptibility of people who are at higher risks (by virtue of their genetic background, nutritional status, preexisting disease state or lifestyle); improve the ability to predict long-term chronic effects; contribute to the development of sensitive assay systems; improve the ability to reliably extrapolate the results of laboratory animal studies to man and improve the capability of regulatory agencies to control general exposure to known hazards.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants: Research grants are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Research Career Development Awards: These awards in an amount up to $30,000. (plus fringe benefits and 8 percent indirect cost) are made to institutions to provide stable salary support for the development of young scientists with potential for careers of independent research. Supplementation from non-NIH funds is allowed. Mid-Career Development Awards-Environmental Toxicology: These awards in an amount up to $30,000 (plus fringe benefits and 8 percent indirect costs) are made to institutions to provide salary and supplies support for individuals with research expertise in biomedical sciences who wish to move into careers in Environmental Toxicology. Supplementation from non-NIH funds is allowed. For all mechanisms of support the award and use of funds is subject to applicable provisions of basic statutory authorities, appropriation acts, pertinent regulations, and operating policies of DHHS, PHS, NIH, and the National Institute of Environmental Health Sciences.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Research Grant, Research Career Development Awards, and Mid-Career Development Awards-Environmental Toxicology: A university, college, hospital, State or local government, nonprofit research institution or for-profit organization may submit an application and receive a grant for support of research by a named principal investigator. Candidates for Career Development Awards must have at least 3 years relevant postdoctoral experience.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Research Grants, Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: Applications must be signed by appropriate officials of the grantee institution. "Costs will be determined in accordance with OMB Circular Nos. A-87 for state and local governments, A-21 for educational institutions, and A-122 for nonprofit institutions."

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Research Grants: The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government.

**Application Procedure:** Research Grants and Awards: Application forms and instructions for their submission are available from the Division of Research Grants, NIH, Bethesda, MD 20205. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Research Grants and Awards: Made on the basis of a dual review of an investigator-prepared application. The reviews are made by peer groups: The first by a study section for scientific merit; the second by an advisory council for program relevance. Final approval of these recommendations and decisions concerning funding are made by the Director, NIEHS. Formal award notices are sent to successful applicants.

**Deadlines:** Research Grants: New and supplemental applications; July 1 and November 1; Renewal applications: October 1. Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: October 1.

**Range of Approval/Disapproval Time:** Research Grants and Awards 6 to 9 months.

**Appeals:** Research Grants and Awards: Applications not favorably recommended may be revised and resubmitted.

**Renewals:** Research Grants: Subject to same criteria as new applications. Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: May not be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Research Grants: Current legislation requires that the grantee participate in the cost of each research project through either an institutional or individual cost sharing agreement. Awards: Not applicable.

**Length and Time Phasing of Assistance:** Research Grants may be awarded for up to 5 years generally in 12-month budget periods, and may be extended through a competitive renewal. Funds are released primarily on basis of a Letter of Credit. Research Career Development Awards are awarded for years in 12-month budget periods, no renewal. Mid-Career Development Awards-Environmental Toxicology are for up to 3 years, 12-month budget periods, no renewal.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Research Grants and Awards: Annual and final progress reports and reports of expenditures are required.

**Audits:** Research Grants and Awards: Subject to auditing procedures of the grantee and sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Research Grants and Awards: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditures report for that year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0862-0-1-550.

**Obligations:** (Grants) FY 81 $14,578,000; FY 82 est $14,495,000; and FY 83 est $14,642,000.

**Range and Average of Financial Assistance:** $24,000 to $745,000; $103,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 142 research grants were awarded. In fiscal year 1982, it is anticipated that 131 research grants and awards will be made. In fiscal year 1983, it is anticipated that 122 research grants and awards will be made. In fiscal year 1981, 108 competing applications were received and 56 were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 45 CFR 74; NIH Guide to Guide to Grants and Contracts; Public Health Service, Grants Policy Statement; Various other publications and application kits, available from the Division of Research Grants, NIH, Bethesda, MD 20205.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not Applicable.

**Headquarters Office:** Research Grants, Research Career Development Awards and Mid-Career Development Awards-Environmental Toxicology: Wilford L. Nusser, Ph.D., Associate Director for Extramural Program, National Institute of Environmental Health Sciences, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-7723, FTS 8-629-7723.

**RELATED PROGRAMS:** 13.859, Pharmacological Sciences; 13.892, Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders; 13.894, Environmental Health Research and Manpower Development Resources.

**EXAMPLES OF FUNDED PROJECTS:** 1) Factors which influence the neural distribution of heavy metals, 2) the pathogenesis of inflammation produced by environmental agents, 3) factors which contribute to the irritant potency of environmental gases and aerosols, 4) toxicity and pharmacodynamic kinetic studies on kepone, and 5) the mechanisms of cellular toxicity by heavy metals.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed projects; and the relevance and importance to announced program objectives.

## 13.894 ENVIRONMENTAL HEALTH RESEARCH AND MANPOWER DEVELOPMENT RESOURCES

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301, Public Law 78-410, as amended, 42 U.S.C. 241; Public Health Service Act, Section 472, 42 U.S.C. 289 1-1.

**OBJECTIVES:** To provide long-term stable core support for broadly based multidisciplinary research and training on environmental health problems in Environmental Health Sciences Centers (EHS Centers), and Marine and Freshwater Biomedical Centers (MFB Centers). Overall, these centers serve as national focal points and resources for research and manpower development in health problems related to air, water and food pollution; occupational and industrial neighborhood health and safety; heavy metal toxicity; agricultural chemicals hazards; the relationships of the environment to cancer, birth defects, behavioral anomalies, respiratory and cardiovascular diseases, and diseases of other specific organs; and basic aspects of toxicity mechanisms, body defense mechanisms, and the influence of age, nutrition, and other factors in chemically-induced injury and disease; and to increase the pool of trained research manpower in the Environmental Health Sciences through support of Individual and Institutional National Research Service Awards (NRSA).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** EHS and MFB Center grants, which are primarily core support, are awarded to support the direct costs of a program in accordance with an approved budget. In addition, an appropriate indirect cost is provided as determined by negotiated agreement with the Department of Health and Human Services. JOINT FUNDING: EHS Centers are considered suitable for joint funding with closely related Federal financial programs in accordance with the provisions of OMB Circular No.A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of field office of the appropriate funding agency for further information on statutory or other restrictions involved. National Research Service Awards: Individual postdoctoral training awards are made to institutions for the support of fellows who conduct research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRS awards to individuals selected by them, for both predoctoral and postdoctoral research training. Each individual who receives an NRS Award is obligated upon termination of the award to comply with certain service and pay back provisions. For all mechanisms of support, the award and use of funds is subject to applicable provisions on basis of statutory authorities, appropriation acts, pertinent regulations, and operating policies of DHHS, PHS, NIH, and the National Institute of Environmental Health Sciences.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Centers: A university-based, nonprofit research institution, or for-profit organization proposing an integrated research program established to accomplish a stated mission, covering activities ranging from very basic research to the actual application of research results in the prevention and control of environmental health problems, may submit an application under the direction of a named Program Director (see Preapplication Coordination). National Research Service Awards: (1) Nonprofit domestic organizations may apply for the institutional NRS grant; (2) Individual NRS awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed reseach traning program; (3) All awardees must be citizens or have been admitted to the United States for permanent residence; (4) To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctorals have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Centers: Application must be signed by appropriate officials of the grantee institution. National Research Service Awards: (1) Individual NRS Awards - The Applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training must be included in the application; (2) Institutional Grant - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. Appendix C of the Subpart, which applies to State and local governments, is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by those applicants which are State or local units of government. Centers: consultation with National Institute of Environmental Health Sciences and submission of a formal letter of intent is essential prior to submission of an application. National Research Service Awards: Prior to formal application, an applicant must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training.

**Application Procedure:** Application kits and instructions for submission are available from the Division of Research Grants, NIH, Bethesda, MD 20205. Specific information concerning Centers may be obtained by contacting the office indicated under Information Contacts. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 45 CFR 74.

**Award Procedure:** Grants and fellowships are made on the basis of a dual review of an investigator-prepared application. The reviews and recommendations are made by peer groups: The first by a study section for scientific merit: the second by an advisory council for program relevance. Final approval of these recommendations and decisions concerning funding are made by the director, NIEHS.

**Deadlines:** Centers - New, renewal and supplemental applications: October 1, February 1 and June 1; Continuation applications: 2 months before scheduled start date of budget period. NRSA - October 1, February 1 and June 1.

**Range of Approval/Disapproval Time:** For centers and institutional National Research Service Awards, from 6 to 9 months and for Individual National Research Service Awards, from 180 to 210 days.

**Appeals:** Applications not favorably recommended may be revised and resubmitted.

**Renewals:** Subject to same criteria as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. Center Grants - Current legislation requires that the grantee participate in the cost of each research project through either an institutional or individual cost-sharing agreement. National Research Service Awards: Not applicable.

**Length and Time Phasing of Assistance:** EHS Center Grants may be awarded for up to 5 years generally in 12-month budget periods, and may be extended through a competitive renewal. Funds are released primarily on basis of Letter of Credit. National Research Service Awards: Individual awards may be for 1, 2, or 3 years, but no individual may receive NIH support at the postdoctoral level for more than 3 years. Institutional awards may be for up to 5 years, in 12-month budget periods. See Renewals, above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual and final progress reports and reports of expenditures are required. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and pay back provisions.

**Audits:** Subject to auditing procedures of the grantee and sponsoring institution and those of the National Institutes of Health and the Department of Health and Human Services.

**Records:** Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel, and must be maintained for 3 years following the submission of the annual expenditure report for the year.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0862-0-1-550.

**Obligations:** (Grants) FY 81 $16,108,000; FY 82 est $16,304,000; and FY 83 est $16,236,000.

**Range and Average of Financial Assistance:** Center Grants $141,000 to $2,212,000; $686,000. NRSA: $14,000 to $360,000; $84,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 9 EHS Center grants, 5 MFB Center Grants, 32 individual and 45 institutional NRS Awards were made. In fiscal year 1982, it is anticipated that 9 EHS Center grants, 6 MFB Center grants, 36 individual and 39 institutional NRS Awards will be made. In fiscal year 1983, it is anticipated that 9 EHS Center grants, 6 MFB Center grants, 34 individual and 28 institutional NRS Awards will be made. In fiscal year 1981, 2 competing EHS Center applications were received and 2 funded, 1 competing MFB Center applications was received nand none funded, 33 competing individual NRSA applications were received and 14 funded; and 6 competing institutional NRSA applications were received and 1 funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52; 42 CFR 66; 45 CFR 74; NIH Guide to Grants and Contracts: Public Health Service Grants Policy Statement; various other publications and application kits available from the Division of Research Grants, NIH, Bethesda, MD 20205. Specified information concerning NIEHS centers and NRSA available as indicated below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Wilford L. Nusser, Ph.D., Associate Director for Extramural Programs, National Institute of Environmental Health Sciences, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-7723, FTS 629-7723.

**RELATED PROGRAMS:** 13.859, Pharmacological Sciences; 13.892, Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders; 13.893, Mechanisms of Environmental Diseases and Disorders.

**EXAMPLES OF FUNDED PROJECTS:** NRSA: (1) Postdoctoral training in experimental environmental pathology and human comparative pathology of diseases and lesions produced by chemical and physical contaminants; (2) Postdoctoral training in pathology and environmental toxicology emphasizing the observation of morphological abnormalities resulting from exposure to environmental agents; (3) Predoctoral and postdoctoral training in the field of environmental toxicology on the molecular interactions of toxic materials; (4) Predoctoral and postdoctoral training in the evaluation and prediction of the effects of enviromental pollutants on biological systems; and (5) Predoctoral and postdoctoral training in the principles and perspectives of epidemicology and biostatistics to develop a capability to initiate epidemiological inquiries to test hypotheses on the biological effects of environmental agents. Center Grants: (1) Studies on the effects of metal pollutants on biological systems using marine organisms as the test system; (2) Studies involving the use of aquatic species as models for understanding the mechanisms of toxicity of environmental chemicals; (3) Trace contaminants as environmental health hazards to man; (4) Studies on the response of the respiratory system to environmental factors; and (5) The identification of environmental causes of disease and the understanding of their mode of action.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

## 13.895 GRANTS FOR FACULTY DEVELOPMENT IN FAMILY MEDICINE

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 786(a), Part D, Title VII, as amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To increase the supply of physician faculty available to teach in family medicine programs and to enhance the pedagogical skills of faculty presently teaching in family medicine.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may not be used for construction, patient services, and student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant shall be a public or nonprofit private hospital; or be an accredited public or nonprofit school of medicine or of osteopathy; or be a public or private nonprofit entity whose principal functions include health and/or education.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Accreditation required by the Joint Commission on Accreditation of Hospitals or the American Osteopathic Association (through the Board of Trustees). For existing schools: accredited by a recognized body or bodies approved for such purposes by the Secretary of Education. For new schools: a letter of reasonable assurance of accreditation from the Secretary of Education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Headquarters Office and Regional Office staff. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit applications in accordance with instructions specified in the application kits which may be obtained from the headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing, and a Notice of Grant Award, will be issued from the Headquarters Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions. Call the headquarters office for specific dates.

**Range of Approval/Disapproval Time:** From 3 to 4 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals are permitted, and must follow guidance in the instruction package.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formaula.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during approved budget period. Payment is made by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports must be submitted annually. Financial status reports required within 90 days after end of each budget period.

**Audits:** Grantees are subject to inspection and fiscal audit by persons designated by DHHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports and 3 years after final disposition of nonexpendable property. If questions remain such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $2,589,943; FY 82 est $32,000,000 (FY 82 estimate includes funds for 13.379 and 13.896); and FY 83 est $22,500,000 (FY 83 estimate includes funds for 13.379 and 13.896).

**Range and Average of Financial Assistance:** $1,396 to $356,651, $143,886.

**PROGRAM ACCOMPLISHMENTS:** There were 18 continuations supported in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants for Faculty Development in Family Medicine, program brochure; Final regulations published in Federal Register on October 16, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator (see Appendix IV for listing).

**Headquarters Office:** Director, Division of Medicine, Bureau of Health Professions, HRA, PHS, DHHS, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr. Kenneth Moritsugu. Telephone: (301) 436-6418. Grants Management Contact: Jack Westcott. Telephone: (301) 436-6564. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 13.379, Grants for Graduate Training in Family Medicine; 13.896, Grants for Predoctoral Training in Family Medicine.

**EXAMPLES OF FUNDED PROJECTS:** Projects to supply physician facilities to teach family medicine.

**CRITERIA FOR SELECTING PROPOSALS:** Competing applications are initially reviewed by non-Federal consultants whose recommendations are considered by the National Advisory Council on Health Professions Education. Approval of any application will be based on an analysis of the following factors: The potential effectiveness of the proposed project in carrying out the training purposes of Section 786(a) of the PHS Act; The extent of responsiveness to the project requirements, guidelines and application requirements; The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; and the potential of the project to continue on a self-sustaining basis after the period of grant support.

## 13.896 GRANTS FOR PREDOCTORAL TRAINING IN FAMILY MEDICINE

### (Predoctoral Training)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 786(a), Part D, Title VII, as amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To assist schools of medicine and osteopathy in meeting the costs of projects to plan, develop, and operate or participate in professional predoctoral training programs in the field of family medicine.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may not be used for construction, patient services, student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An accredited public, or private nonprofit school of medicine or of osteopathy.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For existing schools: accredited by a recognized body or bodies approved for such purposes by the Secretary of Education. For new schools: a letter of reasonable assurance of accreditation from the Secretary of Education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Headquarters and Regional Office staff. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit applications in accordance with instructions specified in the application kits which may be obtained from the Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing, Notice of Grant Awards, will be issued from the Headquarters Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions.

**Range of Approval/Disapproval Time:** From 3 to 4 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are available for expenditures during approved budget period. Payment is made by Letter of Credit or Monthly Cash Request System.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports must be submitted annually. Financial status reports required within 90 days after end of each budget period.

**Audits:** Grantees are subject to inspection and fiscal audit by persons designated by DHHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports and 3 years after final disposition of nonexpendable property. If questions remain such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $6,841,884; FY 82 est $32,000,000; (FY 82 estimate includes funds for 13.895 and 13.379); and FY 83 est $22,500,000 (FY 83 estimate includes funds for 13.895 and 13.379)

**Range and Average of Financial Assistance:** $13,666 to $228,888; $136,838.

**PROGRAM ACCOMPLISHMENTS:** There were 6 continuation and 44 competitive awards made in fiscal year 1981, from the 6 continuation and 83 competitive awards applications received.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants for Predoctoral Training in Family Medicine, program brochure; Final regulations published in Federal Register October 16, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator (see Appendix IV for listing).

**Headquarters Office:** Director, Division of Medicine, Bureau of Health Professions, HRA, PHS, DHHS, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr.

Kenneth Moritsugu. Telephone (301) 436-6418. Grants Management Contact: John R. Westcott (301) 436-6564. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 13.379, Grants for Graduate Training in Family Medicine; 13.895, Grants for Faculty Development in Family Medicine.

**EXAMPLES OF FUNDED PROJECTS:** Projects to develop professional predoctoral training programs in family medicine.

**CRITERIA FOR SELECTING PROPOSALS:** Competing applications are initially reviewed by nonfederal consultants whose recommendations are considered by the National Advisory Council on Health Professions Education. Approval of any application will be based on an analysis of the following factors: 1.) The potential effectiveness of the proposed project in carrying out the training purpose of Section 786(a) of the PHS Act; 2.) The extent of responsiveness to the project requirements, guidelines and application requirements; 3.) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; and 4.) The potential of the project to continue on a self-sustaining basis after the period of grant support.

## 13.897 RESIDENCY TRAINING IN THE GENERAL PRACTICE OF DENTISTRY

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title VII, Section 786(b), as amended by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To plan, develop, and operate an approved residency program in the general practice of dentistry.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are restricted to the support of existing accredited General Practice Residency programs, and to support the development of new programs. A grant may be used to support personnel, residents who are in need of financial assistance, renovate space, purchase equipment and meet other related expenses necessary for the conduct of the program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private nonprofit school of dentistry or accredited post-graduate dental training institution, located in any one of the several states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and technical assistance in preparation of an application is available from the administering agency and the DHHS Regional Offices.

**Application Procedure:** Application kit may be obtained from the Grants Management Officer, Bureau of Health Professions, HRA, Center Building, Room 4-27, 3700 East-West Highway, Hyattsville, MD 20782. They should be submitted in accordance with instructions in the application kit. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are given dual review, first by reviewers designated by the Division of Dentistry, BHPr; and finally by the National Advisory Council on Health Professions Education. Appropriate notification of the awards are made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Specified in application instructions.

**Range of Approval/Disapproval Time:** Approximately 4 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Maximum grant period is 3 years. Annual noncompeting application is required for continued support.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and financial status reports are required.

**Audits:** Grantees are subject to inspection and fiscal audit by persons designated by DHHS.

**Records:** Financial records must be kept available for 3 years after submission of expenditure reports, and 3 years after final disposition of non-expendable property. If questions remain, such as those raised by an audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $3,745,000; FY 82 $2,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $20,000 to $250,000; $86,000.

**PROGRAM ACCOMPLISHMENTS:** There were 14 continuation programs and 25 new programs supported in fiscal year 1981, with an estimated 198 residents receiving training.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Guide for Residency Training in the General Practice of Dentistry, Final Regulations Published November 24, 1978 in the Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator, DHHS Regional Offices (see Appendix IV for listing).

**Headquarters Office:** Professional Education Branch, Division of Dentistry, Bureau of Health Professions, Health Resources Administration, Public Health Service, DHHS, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Richard G. Weaver. Telephone: (301) 436-6510. Grants Management Contact: John R. Westcott. Telephone: (301) 436-6564.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Programs to provide support for the initiation, improvement, and expansion of general practice residency programs. These programs seek to train general practitioners who can provide comprehensive dental care for all segments of the population, including the sick, the elderly, and the handicapped. All projects are similar in that they are developed to meet specified program goals.

**CRITERIA FOR SELECTING PROPOSALS:** The extent to which: 1) the objectives of the program are consistent with the purposes of the grant program and the extent to which the evaluation methodology will effectively assess the impact of the project; 2) the proposal demonstrates a need for the project; 3) present or potential problems are understood by the applicant and the extent to which solutions to these problems have been developed; 4) the organizational and administrative relationships between institutional and programmatic components of the project enhance the achievement of project objectives; 5) the curriculum will enhance the resident's ability to become an efficient, effective and competent practitioner of general dentistry; 6) the faculty and support personnel are capable of providing the proposed instruction; 7) the resident recruitment and selection process assures that highly qualified residents with a true interest in general practice are enrolled in the program; 8) the facilities and equipment used in the training program are appropriate to the general practice of dentistry; 9) the financial information provided indicates an effective utilization of grant funds and indicates that the project will continue on a self-sustaining basis; and 10) the budget justification is reasonable and indicates that institutional support to the project is provided to the maximal extent possible.

## 13.962 HEALTH ADMINISTRATION GRADUATE TRAINEESHIPS

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title VII, Public Law 97-35, Section 791A, 42 U.S.C. 294s.

**OBJECTIVES:** To support eligible students enrolled in accredited graduate degree programs in health administration, hospital administration, or health policy analysis and planning.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Student support only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any public or nonprofit private educational entity (excluding Schools of Public Health) offering a graduate program in health administration, hospital administration, or health policy analysis and planning which has been accredited by a body approved for this purpose by the Secretary of Education.

**Beneficiary Eligibility:** Must be a U.S. citizen or have visa permitting permanent residence, and enrolled in an accredited program in health administration, hospital administration, or health policy analysis and planning. Must meet admission requirements.

**Credentials/Documentation:** Accredited programs in health administration, hospital administration, or health policy analysis and planning.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Central Office and Regional Office staff.

**Application Procedure:** Applications may be obtained from the Grants Management Officer, Bureau of Health Professions, HRA, Room 4-27, Center Bldg., 3700 East-West Highway, Hyattsville, MD 20782, Telephone: (301) 436-7360. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants are awarded to accredited programs on a formula basis.

**Deadlines:** Deadline dates will be announced in the Federal Register.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are awarded on a formula basis among educational entities based on student enrollment.

**Length and Time Phasing of Assistance:** One year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and financial status reports are required.

**Audits:** Must be conducted biennially and filed with the Grants Management Officer within 180 days after end of budget period.

**Records:** The grantee must establish and maintain records which the Secretary may by regulations or order require.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $742,500; FY 82 est $480,000 and FY 83 est $0.

**Range and Average of Financial Assistance:** $8,910; to $92,070; $27,500.

**PROGRAM ACCOMPLISHMENTS:** There were 27 applications received and funded in FY 1981 and 29 applications received thus far in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Guide and Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator in the DHHS Regional Office (see Appendix IV for listing).

**Headquarters Office:** Grants Management Officer, John R. Westcott, Bureau of Health Professions, HRA, Center Bldg., Rm. 4-27, 3700 East-West Highway, Hyattsville, MD 20782, Telephone: (301) 436-6564 or Contact: Ernest W. Michelsen Chief, Education Development Branch, Division of Associated Health Professions, Bureau of Health Professions, HRA PHS, DHHS, Telephone: (301) 436-6800.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Health administration traineeship grants.

**CRITERIA FOR SELECTING PROPOSALS:** Available funds distributed on formula basis among programs, in health administration, hospital administration, or health policy analysis and planning, accredited by body/bodies recognized for that purpose by Secretary of Education.

## 13.963 GRADUATE PROGRAMS IN HEALTH ADMINISTRATION

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** PHS Act, Title VII, as amended by Public Law 97-35, Section 791.

**OBJECTIVES:** To support accredited graduate educational programs in health administration, hospital administration, and health planning.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may not be used for construction or student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be an accredited public or nonprofit private educational entity (excluding accredited schools of public health) which offers a program in health administration, hospital administration, or health planning.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Accredited programs in Health Administration, Hospital Administration, and Health Planning.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and technical assistance available from Central and Regional Office staff.

**Application Procedure:** Applications may be obtained from the Grants Management Officer, Bureau of Health Professions, HRA, Center Bldg. Rm. 4-27, 3700 East-West Highway, Hyattsville, MD 20782, Telephone: (301) 436-7360. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications approved and funded, indicating title of program, period for which support has been approved that is, 12 months (applicant may encumber any unobligated balance up to 12 months after the expiration date of the 12 month project period).

**Deadlines:** Will be announced in the Federal Register.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds available are distributed equally among schools with approved applications.

**Length and Time Phasing of Assistance:** One year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual status report, outlining accomplishment of the required assurances and program progress is required.

**Audits:** Must be conducted biennially by an independent certified accountant, and filed with the Grants Management Officer within 180 days after the end of each budget period.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $742,500; FY 82 est $1,440,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** The level of funding was $33,750 for all awards in FY 1981.

**PROGRAM ACCOMPLISHMENTS:** There were 25 applications received and 22 funded in FY 1981, and 25 applications have been received in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Guide and Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator in the DHHS Regional Office (See Appendix IV for listing).

**Headquarters Office:** John R. Westcott, Grants Management Officer, Bureau of Health Professions, Health Resources Administration, Center Bldg., Rm. 4-27, 3700 East-West Highway, Hyattsville, MD 20782, Telephone: (301) 436-6464 or Ernest W. Michelsen Chief, Education Development Branch, Division of Associated Health Professions, Bureau of Health Professions, HRA, PHS, DHHS, Telephone: (301) 436-6800.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Formula grants for graduate programs in health administration.

**CRITERIA FOR SELECTING PROPOSALS:** All eligible programs are entitled to share in the funds.

## 13.964 TRAINEESHIPS FOR STUDENTS IN SCHOOLS OF PUBLIC HEALTH AND OTHER GRADUATE PUBLIC HEALTH PROGRAMS

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** PHS Act, Title VII as amended by Public Law 97-35, Section 792.

**OBJECTIVES:** To support traineeships for students in graduate educational programs in schools of public health or other public or nonprofit educational entities (excluding programs eligible for support under Section 791 A) which offer graduate programs for training in 1) biostatistics or epidemiology; 2) health administration, health pla[illegible]g, or health policy analysis and planning; 3) environmental [illegible]cupational health, 4) dietetics or nutrition; 5) maternal and child health; or 6) approved residency training in preventive medicine or dentistry.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants funds must be used solely for traineships to eligible individuals. This may include payment of stipends, tuition and fees and transportation allowance which are subject to approval by the Secretary.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited schools of public health and other public or nonprofit educational entities which provide graduate or specialized training in public health.

**Beneficiary Eligibility:** (1) Trainees must be United States Citizens or Non-citizen nationals having in their possession a visa permitting permanent residence in the United States. (2) Trainees must be pursuing a graduate degree in an eligible school of public health or enrolled in an eligible program. (3) For grants awarded on the basis of competitive review all trainees must meet the admission requirements specified in the approved grant application.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation and technical assistance in preparation of an application is available from the Central and Regional Office staff.

**Application Procedure:** Application kits may be obtained from the Grants Management Officer, Bureau of Health Professions, HRA, Center Bldg., Room 4-27, 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-6564. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Accredited Schools of Public Health are awarded grants on formula basis. Other eligible institutions are evaluated based on criteria specified in the Regulations and the program guide.

**Deadlines:** Will be announced in the Federal Register.

**Range of Approval/Disapproval Time:** 4 to 6 months.

**Appeals:** None.

**Renewals:** Applications for renewals and continuations are submitted annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Accredited public health schools annually, all others a maximum of three years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and financial status reports are required.

**Audits:** Must be conducted biennially and filed with the Grants Management Office within 180 days after end of each biennial period.

**Records:** The grantee must establish and maintain records which the Secretary may by regulation or order require.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $6,682,500; FY 82 est $2,880,000 and FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** $22,819 to $615,677; $238,660.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 22 formula and 6 continuing applications were received and funded. In fiscal year 1982, 23 formula and 5 continuation applications have been received.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Guide, Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator in the DHHS Regional Office (see Appendix IV for listing).

**Headquarters Office:** Bureau of Health Professions, HRA, Center Bldg., Room 4-27, 3700 East-West Highway, Hyattsville, MD 20782. Telephone: (301) 436-7360, John R. Westcott. Ernest W. Michelsen, Chief, Education Development Branch, Division of Associated Health Professions, Bureau of Health Professions, HRA, PHS, DHHS, Telephone: (301) 436-6800.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A percentage of the funds are awarded on a formula basis among the eligible schools of public health. The balance of funds are awarded on competitive basis to other public or nonprofit institutions for graduate training in biostatistics or epidemiology, environmental or occupational health, dietetics or nutrition, approved residency training in preventive medicine or dentistry, or maternal and child health.

## 13.965 COAL MINERS RESPIRATORY IMPAIRMENT TREATMENT CLINICS AND SERVICES

### (Black Lung Clinics)

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Section 427(a) Federal Mine Safety and Health Act, Public Law 95-239 as amended by Black Lung Benefits, Act; Public Law 95-239.

**OBJECTIVES:** 1) To develop in areas where there are significant numbers of active and inactive miners, high quality patient-oriented, integrated systems of care which assure access to and continuity of care with maximum use of existing resources; 2) To emphasize patient and family member education to maximize the patient's ability for self-care; 3) To expand the local capacity to perform examinations of miners seeking eligibility for Black Lung benefits.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** 1) USES: A. Costs of operating clinical services; B. Costs of equipment and facilities, when these costs are demonstrated to be necessary to enable the implementation of services. 2) RESTRICTIONS: Support is available only in areas where it can be demonstrated that there are significant numbers of active and/or inactive coal miners. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local government agencies; private nonprofit agencies.

**Beneficiary Eligibility:** Coal workers with pulmonary impairments.

**Credentials/Documentation:** 1) That supported services will be accessible to a significant number of eligible beneficiaries; and 2) Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by applicants which are State or local government agencies. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** State and local governments must prepare a Form HHS-5161, Application for Federal Assistance (Nonconstruction), fully documenting the need for the grant and the proposed amount for the project. Other nonprofit entities must complete Form PHS 5194, Grant Application for Health Services, documenting the need for and the proposed amount of the grant. Applications are to be submitted to the Administrator of the appropriate DHHS Regional Office. Applications must also be submitted to the appropriate health planning agencies under Title XV of the Public Health Service Act and other designated organizations for review and comment. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** After approval by the Regional Health Administrator, the regional grants management office prepares a notice of award, secures necessary clearances and approval signatures, issues the award, enters the approved award in the grant payment process and then provides notification of the grant approval to the public as well as the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 45 to 90 days.

**Appeals:** None.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Assistance will cover operational costs and grantees will generally be expected to begin to deliver services immediately. However, at the discretion of the awarding office, up to six months may be allowed for planning and program development.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State and local governments must submit an expenditure report 90 days after the end of each budget period. Other nonprofit entities are required to submit an expenditure report 60 days after each budget period. Basic data, cost accounting, and reporting or monitoring systems will be compatible with federally established national reporting requirements for health services delivery projects.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to made audit, examination, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $4,500,000; FY 82 est $3,240,000; and FY 83 est $3,240,000.

**Range and Average of Financial Assistance:** Generally, assistance will range from $30,000 to $150,000 for local programs. Statewide or areawide programs will be proportionately more.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 18 grants were funded to support the initiation of 65 to 70 centers, and approximately 50,000 miners received health services from the Black Lung Clinics Program, which included analysis, examination, treatment, and patient education for respiratory or pulmonary (black lung) impairments. In fiscal year 1981 these services were provided to approximately 50,000 miners. In fiscal years 1982 and 1983 it is estimated that these services will be provided to approximately 52,000 miners. In fiscal year 1981, 18 grants were awarded. Eleven (11) were continuations and (8) were new grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations - coalminers' respiratory treament program available from regional offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrators of DHHS Regional Offices (See Appendix IV for list of regional offices).

**Headquarters Office:** Director,Regional Commissions Health Programs, Health Services Administration, Bureau of Community Health Services, Rm 7A-55, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 443-5033. Contact: William S. Beacham.

**RELATED PROGRAMS:** 13.224, Community Health Centers; 13.714, Medical Assistance Program; 13.773, Medicare - Hospital Insurance; 13.774, Medicare - Supplementary Medical Insurance; 17.307, Coal Mine Workers' Compensation; 23.004, Appalachian Health Programs.

**EXAMPLES OF FUNDED PROJECTS:** 1) A statewide program of Black Lung Clinics in community primary care centers with coordination and assistance from the State health department; 2) An areawide system of clinical services in a rural area for Black Lung victims administered by a secondary referral hospital through linkage arrangements with other provider agencies; 3) A clinic operated by a community hospital to serve Black Lung victims in a county. Primary care services will be provided by private practioners and community clinics through referral agreements.

**CRITERIA FOR SELECTING PROPOSALS:** 1) The project will serve a significant number of coal workers with pulmonary impairment without regard for their ability to pay; 2) The project will maximize use of existing resources; 3) High quality of clinical services and management is assured; 4) Enrolled patients will receive training in the management of their health care; 5) Continuity of care is assured; 6) The project has or will quickly establish agreements with all levels of care providers to assure continuity; 7) There is a coordinator of patient care who will assure the implementation of a patient care plan for each enrollee; 8) The project is coordinated with other similar projects to assure access to those who need services without duplication of effort.

## 13.969 CURRICULUM DEVELOPMENT GRANTS

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 788(b)(9),(19),(21), (22),(23),(24); Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981, Title VII, 42 U.S.C. 295 g-8.

**OBJECTIVES:** To assist health profession schools, allied health, nurse training institutions, or other public or nonprofit entities in the development and implementation of new course materials in applied nutrition, environmental health, geriatrics, and humanistic health care.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants in the area of environmental health - limited to schools of medicine and osteopathy. Funds may not be used to maintain existing programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any health profession, allied health profession, or nurse training institution, or any other public or nonprofit entity.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Headquarters Office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit application in accordance with instructions specified in the application kits which may be obtained from the Grants Management Officer, BHPr, HRA, Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing, a Notice of Grant Award will be issued from the Headquarters Office.

**Deadlines:** Announcement will be made in the Federal Register.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during approved budget period. A maximum of 3 years support may be requested. Payment is made by Letter-of-Credit or monthly cash request system.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports must be submitted annually. Financial status reports are required within 90 days after each budget period.

**Audits:** Reports should be filed with the Grants Management Officer, within 180 days after each biennial period.

**Records:** Records shall be retained for a period of 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $0; FY 82 est $0; and FY 83 est $6,500,000.

**Range and Average of Financial Assistance:** Applied Nutrition: range $50,704 to $183,464, average $116,332; for FY 1980 Geriatrics: range $13,874 to $160,6660, average $79,531; and for FY 1980 Environmental Health: range $39,869 to $101,854, average $74,000, and humanistic health care: range $51,042 to $85,482, average $70,960.

**PROGRAM ACCOMPLISHMENTS:** Applied Nutrition: 13 applications were received and 13 institutions awarded grants in fiscal year 1980; for FY 1980 Geriatrics: 25 grants were awarded in fiscal year 1980; for FY 1980 Environmental Health: 28 grants were awarded in fiscal year 1980; Humanistic Health Care: there were 64 applications received and 13 grants awarded in fiscal year 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Curriculum Development Grants Program Guide.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Program Contacts: Applied Nutrition, Humanistic Health Care, Division of Associated Health, Joseph Kadish, Ed. D., Telephone: (301) 436-6607, Geriatrics and Occupational and Environmental Health, Division of Medicine, Dr. Kenneth Moritsugu, Telephone: (301) 436-6418, 3700 East-West Highway Room 3-22, Hyattsville, MD 20872. Grants Management Contact: John R. Westcott, Telephone: (301) 436-6564.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Applied Nutrition: One project involves students from the disciplines of medicine, dentistry, nursing, physician associate, and dietetics. Approximately 500 students will participate each year. A steering committee will be established for the project with representatives from each of the schools or programs involved. Outside consultants will be utilized to assist in team development, interdisciplinary education, mediated learning and evaluation. Independent study packages will be developed for students' use while taking the required basic science courses such as biochemistry, and while they are taking other clinical experiences. An interdisciplinary applied nutrition course will be developed which will include students from at least three of the disciplines working as teams in clinical areas. These will include opportunity based settings, satellite clinics, dental clinics, rural health care settings, geriatric residential settings, a medical genetic clinic, an inner city clinic, and a nutrition counseling clinic. A seminar in nutrition will be developed, clinical teaching models will be designed for use by individual clinical preceptors, and a nutrition newsletter will be published to promote communications and heighten awareness of nutrition educational activities at the institution. Geriatrics: Four to five thousand students in nursing, medicine, physical therapy, nutrition, respiratory therapy, and mental health will be provided with geriatric/gerontology basic knowledge and current research through appropriate disciplinary and multidisciplinary learning experiences. It is estimated that 45-60 hours of instructional time will be implemented within a two year period. Eighteen of the awardees are coordinating this grant with other federally-supported geriatric/gerontology activities. Seventeen awardees will use nursing homes as clinical training sites. Environmental Health: Grantees are developing and introducing training experiences for undergraduate medical students. This new material stresses inculcation of awareness, knowledge, and basic skills, enabling early recognition, treatment, and prevention of prevalent occupationally and environmentally induced diseases. Humanistic Health Care: The purpose of these grants are to train and motivate health professions students to provide health services in a more effective manner through improvement of the affective relationships between health practitioners and patients. This program area responds to needs expressed all attention to the need for personalizing and humanizing health services. The anticipated results are improved affective and interpersonal skills on the part of students exposed to the training, provision of role models of effective humanistic, increased awareness of phychosocial and cultural influences on health, and experiential settings for the development and improvement of affective relationships between health practitioners and patients. Activities which develop humanistic health care training within the existing didactic and clinical curriculum are encouraged. Projects should build upon and develop the existing educational and clinical care system in the applicant institutions in order to create or improve an organizational, procedural and philosophical context within which the training of students in humanistic health care practice will be stressed.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are reviewed according to the following criteria: 1) the potential effectiveness of the proposed project in carrying out the training purposes of 788(d) of the PHS Act; 2) the extent of responsiveness to the purposes and project requirements; 3) the administrative and management capability of the applicant to carry out the proposed project in a cost effective manner; 4) the qualifications of the proposed staff and faculty; and 5) the potential of the project to continue after grant support has ended.

## 13.970 HEALTH PROFESSIONS RECRUITMENT PROGRAM FOR INDIANS

### (Recruitment Program)

**FEDERAL AGENCY:** INDIAN HEALTH SERVICE, HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Law 94-437, the Indian Health Care Improvement Act, Title I, Section 102.

**OBJECTIVES:** To identify Indians with a potential for education or training in the health professions and encouraging and assisting them to enroll in health or allied health professional schools.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Establishing and operating programs designed to recruit Indians into health and allied professional schools. JOINT FUNDING: This program is considered eligible for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private nonprofit health or educational entities or Indian tribes or tribal organizations.

**Beneficiary Eligibility:** Preference is given to applicants in the following order of priority: (1) Indian tribes, (2) tribal organizations, (3) urban Indian organizations and other Indian health organizations, (4) other public or nonprofit health or educational entities.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs for educational institutions will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applicants must prepare Form PHS 5161-1, application for Federal Assistance (Nonconstruction Programs) Instruction and forms are available from the Indian Health Service. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

**Deadlines:** Contact Headquarters Office for details.

**Range of Approval/Disapproval Time:** Within 60 days of IHS Headquarters receipt date.

**Appeals:** None.

**Renewals:** Continuation applications must be submitted annually. Continued funding is subject to availability of funds and satisfactory performance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Payments of grant funds are made through the DHHS Federal Assistance Financing System (DFAFS) of DHHS Letter of Credit. Information will be forwarded to new grantees regarding the process of obtaining funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Projects must have data systems to support administration and evaluation of the project. The funding agency will provide forms for the uniform reporting of data on case management, fiscal management and project activities. Forms are required quarterly.

**Audits:** "Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively". Periodic audits should be made as part of the recipients system of financial managment and internal control to meet terms and conditions of grants and other agreements.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0390-0-1-551.

**Obligations:** (Grants) FY 81 Actual $6,674,000; FY 82 est $200,000; and FY 83 est $200,000.

**Range and Average of Financial Assistance:** $10,000 to $80,000; $60,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 16 projects were funded from 39 applications submitted. For fiscal year 1982, approximately project and fiscal year 1983 estimate is one project.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final rules and regulations, the Indian Health Care Improvement Act, Public Law 94-437, published in the Federal Register, November 18, 1977.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See appendix for Indian Health Service Area Program Offices.

**Headquarters Office:** Contracts and Grants Management Branch, Indian Health Service, Health Services Administration, Public Health Service, DHHS, Room 6A-29, 5600 Fishers Lane, Rockville, Md. 20857. Contact: Kay Carpentier, (301) 443-5204 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Yankton Sioux Tribe, San Carlos Apache Tribe, Keweenaw Bay Indian Community.

**CRITERIA FOR SELECTING PROPOSALS:** (1) potential effectiveness of the proposed project in carrying out such purposes, (2) the demonstrated capability of the applicants to successfully conduct the project, (3) accessibility of the applicant to the target population, (4) relationship of project objectives and known or anticipated Indian health manpower objectives, (5) soundness of the fiscal plan, (6) cost reasonableness, and (7) completeness of the application.

## 13.971 HEALTH PROFESSIONS PREPARATORY SCHOLARSHIP PROGRAMS FOR INDIANS

**FEDERAL AGENCY:** INDIAN HEALTH SERVICE, HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Law 94-437, the Indian Health Care Improvement Act, Title I, Section 103.

**OBJECTIVES:** To make scholarship grants to Indians for the purpose of completing compensatory preprofessional education to enable the recipient to qualify for enrollment or re-enrollment in a health professions school.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Scholarship awards are limited to persons of Indian, or Alaska Native descent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are to individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs are determined by Public Law 94-437.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application forms are provided by the Indian Health Service and are required by OMB Circular No. A-102.

**Application Procedure:** Applications, forms and instructions are provided by the Indian Health Service. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants for stipends and books are made directly to the individual applicant. Tuition payments are made to the college/university.

**Deadlines:** Contact IHS Area/Program offices for details.

**Range of Approval/Disapproval Time:** Applicants are notified within 90 days of due date.

**Appeals:** None.

**Renewals:** Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly. Amount for books and other necessary expenses are provided to student.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Students are required to submit copies of their official transcripts as they are received.

**Audits:** Internal audits are conducted on each students grant award.

**Records:** The Office of Grants and Contracts and the Human Resources Management Branch maintain records on all students. Records are maintained for 3 years after students complete the program.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0390-0-1-551.

**Obligations:** (Grants) FY 81 $1,452,000; FY 82 est $684,000; and FY 83 est $376,000.

**Range and Average of Financial Assistance:** $5,000 to $14,000; $9,200.

**PROGRAM ACCOMPLISHMENTS:** Awards were made in the following categories: dietetics, nutrition, health education, pharmacy, physical therapy, optometry, medical records, social work and other allied health fields. During fiscal year 1981, 155 scholarships were awarded. For fiscal year 1982, 116 scholarship awards are anticipated For fiscal year 1983, 38 scholarship awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final Rules and Regulations, the Indian Health Care Improvement Act - Public Law 94-437, published in the Federal Register on November 18, 1977.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See appendix for Indian Health Service Area Program Offices.

**Headquarters Office:** Human Resources Management Branch, Indian Health Service, Health Services Administration, Public Health Service, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Contact: Pierre Columbel. Telephone: (301) 443-5440 (Use same 7 digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** There were 155 students funded in the following preprofessional categories: nutrition, dental hygiene, engineering, medical lab technology, social work, nursing, health care administration, x-ray technology and alcoholism and drug abuse.

**CRITERIA FOR SELECTING PROPOSALS:** Applicant must be Indian. Other elements considered are: 1) Academic performance; 2) work experience; 3) faculty recommendation; 4) stated reasons for asking for the scholarship; and 5) the relative needs of the service and Indian Health Organizations for persons in specific health professions are taken under consideration.

## 13.972 HEALTH PROFESSIONS SCHOLARSHIP PROGRAM FOR INDIANS

**FEDERAL AGENCY:** INDIAN HEALTH SERVICE, HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Indian Health Care Improvement Act, Title I, Section 104, Public Law 94-47.

**OBJECTIVES:** To make scholarship grants to Indians and others for the purposes of completing health professional education. Upon completion grantees are obligated to serve for a period as pay back.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Priority consideration for scholarship awards is granted to persons of Indian or Alaska Native descent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are made to individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Students claiming Indian priority must submit proper certification.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application forms are provided by the Indian Health Service and are required by OMB Circular No. A-102.

**Application Procedure:** Applications, forms and instructions are provided by the Indian Health Service. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Grants for stipends and books are made directly to the individual applicant. Tuition payments are made to the college/university.

**Deadlines:** Contact IHS Area/Programs offices for new deadlines.

**Range of Approval/Disapproval Time:** Applicants notified within 90 days following due date.

**Appeals:** None.

**Renewals:** Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly. Amount for books and other necessary expenses are provided to student.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Students are required to submit copies of their official transcripts as they are received.

**Audits:** Internal audits are conducted on each students grant award.

**Records:** The Office of Grants and Contracts and the Human Resources Development Branch maintains for 3 years after students complete the program.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0390-0-1-551.

**Obligations:** (Grants) FY 81 $3,265,000; FY 82 est $4,285,000; and FY 83 est $3,192,000.

**Range and Average of Financial Assistance:** $7,000 to $14,000; $9,746.

**PROGRAM ACCOMPLISHMENTS:** Awards were made in the following categories: dietetics, nutrition, health administration, pharmacy, physical therapy, social work, medical records and other allied health professions. During fiscal year 1981, 335 scholarships were awarded, and in fiscal year 1982, 476 scholarships will be awarded. In fiscal year 1983, 322 scholarships are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final rules and regulations, the Indians Health Service Improvement Act, Public Law 94-437, published in the Federal Register on November 18, 1977.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Indian Health Service Area Program Offices.

**Headquarters Office:** Human Resources Management Branch, Indian Health Service, Health Services Administration, Public Health Service, DHHS, 5600 Fishers Lane, Rockville, MD 20857. Contact: Pierre Columbel. Telephone: (301) 443-5440 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.288, National Health Service Corps Scholarship Program; 13.339, Health Professions - Capitation Grants; 13.342, Health Professions - Student Loans.

**EXAMPLES OF FUNDED PROJECTS:** There were 335 students funded in the following categories: nutrition, dental hygiene, engineering, medical lab technology, social work, nursing, health care administration, x-ray technology, pharmamacy, optometry, alcoholism/drug abuse etc.

**CRITERIA FOR SELECTING PROPOSALS:** Priority to Indian applicants, academic performance, work experience, faculty recommendations, stated reasons for asking for the scholarship, and the relative needs of the service and Indian health organizations for persons in specific health professions.

## 13.973 SPECIAL LOANS FOR FORMER NATIONAL HEALTH SERVICE CORPS MEMBERS TO ENTER PRIVATE PRACTICE

### (National Health Service Corps Private Practice Loans)

**FEDERAL AGENCY:** BUREAU OF HEALTH PERSONNEL DEVELOPMENT AND SERVICE, HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** The Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, 338E; 42 U.S.C. 294x.

**OBJECTIVES:** To assist former National Health Service Corps members establish their own private practice in a health manpower shortage area.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** The secretary may make one loan to an individual, who has completed at least 2 years of his period of obligated service in the corps and who has agreed in writing to engage in the private full-time clinical practice of his profession in a health manpower shortage area for a period of not less than one year. The loan is awarded to assist in meeting the costs of beginning the practice of such individual's profession, including the costs of acquiring equipment and renovating facilities for use in providing health services, and of hiring nurses and other personnel to assist in providing health services. Such loan may not be used for the purchase or construction of any building.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** National Health Service Corps members who have completed at least 2 years of obligated service and who have agreed in writing, (a) to engage in the private full-time clinical practice of their profession in a health manpower shortage area for a period (beginning not later than one year after the date they completed their period of obligated service in the Corps) of not less than one year; (b) that during the period of private practice by an individual pursuant to the agreement, (1) any person who receives health services provided by the individual in connection with such practice will be charged for such services at the usual and customary rate prevailing in the area in which such services are provided, except that if such person is unable to pay such charge, such person shall be charged at a reduced rate or not charged any fee; and (2) provision of health services in connection with such practice shall not discriminate against any person on the basis of such person's ability to pay for such services or because payment for the health services provided to such person will be made under the insurance program established under part A or B of Title XVIII of the Social Security Act or under a State plan for medical assistance approved under Title XIX of such Act; and (c) to such additional conditions as the Secretary may require to carry out the purposes of the or loan.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** No requirements for coordination. Informal preapplication consultation between prospective applicants and the appropriate regional office staff is available upon request.

**Application Procedure:** Information and application forms may be obtained from the appropriate Regional Office (see Appendix IV of the Catalog for regional offices) or the Bureau of Health Personnel Development and Service. Applications are submitted to the Regional Operations Branch, Bureau of Health Personnel Development and Service.

**Award Procedure:** Applications are evaluated by the Central Office Review Committee. Loans are awarded by and monitored by the Central Office.

**Deadlines:** Applications must be received in the Central Office by February 1 of each year.

**Range of Approval/Disapproval Time:** Applicants will be notified of approval or disapproval by June 15.

**Appeals:** Not applicable.

**Renewals:** All awards are one-time loans.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Loans are awarded for a one or two year period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports covering fees collected; number and types of services rendered; number and ages of persons served; number and types of personnel staffing; and other financial information about projects are required.

**Audits:** Subject to the auditing procedures of DHHS.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a loan recipient, subgrantee, contractor, or subcontractor, which are pertinent to the HHS loan, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74 Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 Actual $332,500; (Loans) FY 82 est $500,000; and FY 83 est $500,000.

**Range and Average of Financial Assistance:** $12,500 for one year or $25,000 for two years.

**PROGRAM ACCOMPLISHMENTS:** Fourteen grants were awarded in fiscal year 1981. It is anticipated that the demand will grow as more scholarship recipients become eligible for participation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Section 338E and appropriate paragraphs of Section 338C, of the Public Health Service Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Program Consultant for the NHSC in the appropriate Regional Office (see Appendix IV for Regional Offices).

**Headquarters Office:** Billy Sandlin, Acting Director, National Health Service Corps, Health Services Administration, Parklawn Building, Room 6-40, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 443-1994.

**RELATED PROGRAMS:** 13.258, National Health Service Corps.

**EXAMPLES OF FUNDED PROJECTS:** Establishment of private practices, either as individuals or groups.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria to be used in evaluation of the projects include: (1) Licensure in State before application (non-licensure requires mandatory disapproval); (2) type of provider (physician, dentist, etc.); (3) size of population to be served, physician to patient ratio, criticality of need, nature of population, age, ethnic origin, percentage of population in poverty; (4) as indicated by BCRR reports; (5) nature of proposed practice, i.e., solo, partnership, group use of physician extenders.

## 13.974 FAMILY PLANNING SERVICES DELIVERY IMPROVEMENT RESEARCH GRANTS

## (SDI)

**FEDERAL AGENCY:** OFFICE FOR FAMILY PLANNING, BUREAU OF COMMUNITY HEALTH SERVICES, HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Title X, Section 1004, Public Health Service Act; 42 U.S.C. 300a-2(a).

**OBJECTIVES:** To provide techniques for service delivery improvement through demonstration projects, operational research, or technology development and technical assistance.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded to develop demonstration projects, action research, operational research, and technical assistance for the improvement of family planning services delivery of projects funded under Title X, section 1001 of the Public Health Service Act. Funds may not be utilized for contraceptive technology, population or behavioral research. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any public or private nonprofit entity located in a State (the District of Columbia, Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands) is eligible to apply for a grant under this subpart. However, special preference will be provided to national organizations of grantees, youth agencies, medical organizations, and organizations involved with family planning services delivery.

**Beneficiary Eligibility:** Family planning projects and personnel in Title X projects.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; all other applicants in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** There are no requirements for coordination. Informal preapplication consultation between prospective applicants and Bureau of Community Health Services staff is available upon request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications and instructions may be obtained from the Office of the Director, Bureau of Community Health Services, Health Services Administration, Rockville, Maryland 20857. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Director for the Bureau of Community Health Services, Health Services Administration, makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished statements of award for all projects approved. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Contact Headquarters Office for details.

**Range of Approval/Disapproval Time:** 90 to 180 days

**Appeals:** None. Applicants may rework applications through consultation with headquarters staff.

**Renewals:** Projects are renewed, as required, based on submission of a progress report and evidence of plan compliance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Grants may be approved for a budget period not to exceed 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Expenditure report on annual basis. Progress report to be submitted with continuation application. Special reports as requested.

**Audits:** Audits are performed by the HHS Audit Agency as necessary in accordance with planned schedule.

**Records:** HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74, Subpart D, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $1,000,000; FY 82 est $0 and FY 83 est $0. (Note: This program is proposed for consolidation into 13.993, the Primary Care Block Grant by FY 83).

**Range and Average of Financial Assistance:** $15,000 to $200,000; $75,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 14 new grants were awarded. One grant was provided with continued support for the second budget year, and 4 grants received supplemental awards for grant close-out. In fiscal year 1982, no new grant awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Not available at this time.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Health Services Administration, Bureau of Community Health Services, Office for Family Planning, 5600 Fishers Lane, Rockville, Maryland 20857. Contact: Mr. James Purnes, Telephone: (301) 443-2430. (Use same 7-digit number for FTS). Contact: Waddell Avery, Grants Management Branch. Telephone: (301) 443-1440. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.217, Family Planning Projects; 13.260, Family Planning Services.

**EXAMPLES OF FUNDED PROJECTS:** 1) Implementing a Natural Family Planning Model; 2) Development of Protocol for Nutritional Management of Contraceptive Users; 3) Assessment and Documentation of Regional Male Demonstration Programs; 4) Demonstration Model for Delivery of Family Planning Services for Handicapped Individuals; and 5) Providing Technical Assistance to Title X Family Planning Projects and Bureau of Community Health Services Projects Designated as Family Planning Access Points.

**CRITERIA FOR SELECTING PROPOSALS:** Programs are selected on the basis of appropriateness of concept, soundness of technical approach, usefulness of product related to program priorities, demonstrated capability of offerors, and relationship with family planning services delivery projects.

## 13.977 PREVENTIVE HEALTH SERVICES—VENEREAL DISEASE CONTROL GRANTS

### (Section 318, Public Health Service Act)

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 318b, 318c, 42 U.S.C. Control Amendments of 1972, Public Law 92-449; Disease Control Amendments of 1976, Public Law 94-217; and the Health Services and Centers Amendments of 1978, Public Law 95-626, and the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** The purpose of the venereal disease control program is to reduce morbidity and mortality by preventing cases and complications of these diseases. Project grants under Section 318c awarded to State and local health departments emphasize the development and implementation of nationally uniform control programs which focus on disease intervention activities designed to reduce the incidence of these diseases, with education activities supporting these basic program activities authorized under 318b.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for: A) Venereal disease surveillance activities, including reporting, screening, and followup of diagnostic tests for, and diagnosed cases of, venereal disease; B) Casefinding and case followup activities respecting venereal disease, including contact tracing of infectious cases of venereal disease and followup systems; C) Interstate epidemiologic referral and followup activities respecting venereal disease; D) Professional (including appropriate allied health personnel) venereal disease education, training, and clinical skills improvement activities; E) Program specific venereal disease education and information activities as authorized under Section 318b of the PHS Act; F) Such special studies or demonstrations to evaluate or test venereal disease prevention and control strategies and activities as may be prescribed by the Secretary. Grant funds may not be used for: A) Supplanting funds supporting existing venereal disease control services provided by a State or locality; B) Unless specifically approved for that purpose, grant funds shall not be used for performing diagnostic tests (other than gonorrhea screening tests), maintaining central registries, providing diagnostic and treatment facilities and services, or purchasing automatic data processing equipment. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, and in consultation with the appropriate State Health Authority, any political subdivision of a State.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants should document the need for assistance, state the objectives of the project, and outline the method of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised), and the review requirements of the National Health Planning and Resources Development Act of 1974 as amended by the Health Planning and Resources Development Amendments of 1979.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications should be submitted to the Regional Health Administrator.

**Award Procedure:** After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public. The designated State Central Information Reception Agency is also notified in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 4 months prior to beginning date of the period for which funds are requested.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** While there are no specific matching requirements, applicants must generally assume part of the project costs. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Project period - variable; budget period - 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:** Grants subject to inspection and audit by representatives of HHS to determine, at a minimum, the fiscal integrity of financial transactions and reports and compliance with laws, regulations and administrative requirements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $38,560,467; FY 82 $31,119,000; and FY 83 est $38,000,000.

**Range and Average of Financial Assistance:** It is expected that approximately 63 project grants will be awarded each year. The average award is expected to be $611,100, ranging from $30,000 to $2,340,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982 an estimated 8.9 million culture specimens will be obtained from women in gonorrhea screening programs, some 407,764 (4.6 percent) will be positive for gonorrhea of which 390,230 (95.7 percent) will be documented to have received treatment. These gonorrhea screening and other outreach efforts will result in the prevention of an estimated 206,821 new cases of gonorrhea. Some 43 million serologic tests will be performed in fiscal year 1982; an estimated 1.5 million will be reactive resulting in the identification of 54,635 syphilis cases. There were 79 cases of penicillinase producing N. gonorrhoeae (PPNG) reporting in the first quarter of fiscal year 1981. Control efforts include intensive surveillance, case detection and treatment contact tracing and initial treatmentwith spectinomycin of gonorrhea patients at high risk for having PPNG. All project areas have established programs to manage and prevent gonococcal pelvic inflammatory disease. Based on annual figures, approximately 3,000 GPID cases are being identified monthly. Sixty-two percent of these women are seen in hospital emergency rooms. Cases of GPID currently constitute 8.67 percent of all reported gonorrhea cases among women. Eighty-five percent of the cases are interviewed for sexual contacts. Nearly half of the infected partners of these women evidence no symptoms of gonorrhea.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations for this program are published under 42 CFR Part 51b. Guidelines are available. PHS Grants Policy Statement No. 77-50,000, October 1,1976 (Revised).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Each Regional Health Administrator of the HHS Regional Offices is responsible for the administration of this program. (see Appendix IV of the Catalog for a list of regional offices)

**Headquarters Office:** Dr. William H. Foege, Director, Center for Disease Control, PHS, DHHS, 1600 Clifton Road, N.E., Atlanta, Georgia 30333. Telephone: (404) 329-3291.

**RELATED PROGRAMS:** 13.217, Family Planning Projects; 13.224, Community Health Centers; 13.246, Migrant Health Centers Grants; 13.260, Family Planning Services; 13.283, Center for Disease Control - Investigations, and Technical Assistance; 13.823, Primary Care Research and Demonstration Projects; 13.855, Immunology, Allergic, and Immunologic Disease Research; 13.856, Microbiology and Infectious Diseases Research; 13.865, Research for Mothers and Children; 13.978, Preventive Health Service - Venereal Disease Research, Demonstration, and Public Information and Education Grants.

**EXAMPLES OF FUNDED PROJECTS:** The majority of offical State Health Departments (California, Michigan, Texas) and many large local health departments (New York, Chicago, Los Angeles), have ongoing disease control programs utilizing these grants. Venereal disease project funds supplement the detection and prevention components of the venereal disease control efforts of State and local government agencies. Activities include reporting, screening, casefinding and case followup activities, interstate epidemiologic referral, and education activities. The provision of diagnostic/treatment services for venereal disease are not normally supported by project funds and are considered the responsibility of the grantee organization.

**CRITERIA FOR SELECTING PROPOSALS:** Applications will be evaluated based upon the magnitude of the problem, the establishment of specific and measurable objectives to address the problem, and the development of a sound operational plan which will ensure the implementation of each program element.

## 13.978 PREVENTIVE HEALTH SERVICES—VENEREAL DISEASE RESEARCH, DEMONSTRATION, AND PUBLIC INFORMATION AND EDUCATION GRANTS

### (Section 318, Public Health Service Act)

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 318b, 42 U.S.C. 247c, as amended by the Disease Control Amendments of 1972, Public Law 92-449; Disease Control Amendments of 1976, Public Law 94-317; the Health Services and Centers Amendments of 1978, Public Law 95-626, and the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** The objectives of this grant program are to develop, improve, apply, and evaluate methods for the prevention and control of syphilis, gonorrhea, and other sexually transmitted diseases (STD) through demonstration and applied rearch; to develop, improve, apply, and evaluate methods and strategies for public information and education about syphilis, gonorrhea and other STD; and to support particularly deserving public information and education programs which cannot be supported through other grant programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for: A. The costs associated with planning, organizing, and conducting applied research, demonstrations, and education programs, and B. To reimburse individuals asked to be participants in the applied research. Such reimbursements must be submitted for specific approval. Grant funds may not be used for: A. Supplanting funds supporting existing VD control services provided by a State or locality. Proposals for applied research involving human subjects must follow current PHS and CDC guidelines on human experimentation. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, political subdivisions of States, and any other public or private nonprofit entity.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants should document the need for assistance, state the objectives of the project, and outline the method of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is subject to the provisions of OMB Circular No. A-110.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Information on the submission of applications may be obtained from the Procurement & Grants Office, Centers for Disease Control, or the appropriate Regional Office (See Appendix IV of the Catalog for a list of Regional Offices).

**Award Procedure:** After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public. The designated State Central Information Reception Agency is also notified of the grant award in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 4 months prior to beginning date of period for which funds are requested.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** While there are no specific matching requirements, applicants must generally assume part of the project costs. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Project period - variable; budget period - 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:** Grants are subject to inspection and audit by representatives of HHS to determine, at a minimum, the fiscal integrity of financial transactions and reports and compliance with laws, regulations and administrative requirements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $519,533; FY 82 $300,000; and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** $10,000 to $200,000; $136,000.

**PROGRAM ACCOMPLISHMENTS:** Sexually transmitted hepatitis B virus (HBV) infection is an important cause of morbidity and mortality in the United States. During fiscal year 1981, testing of a promising killed-virus hepatitis B vaccine was continued in five clinic sites. This collaborative research study was begun in fiscal year 1980, designed to determine whether or not this vaccine will prevent infection and disease. Results of these trials will be available in fiscal year 1982 and are expected to show that the vaccine is highly effective and safe. The National VD Hotline located in Palo Alto, California, provided VD information services to some 107,724 callers during 1981 of which 66,250 were referred to medical services. The majority of these calls were from teenagers and young adults; 76 percent of all callers are 29 years of age or younger. During fiscal year 1981, funds for high priority special education and information programs were expended on disease prevention efforts. These efforts were directed at persons most related to the disease problem including veneral disease patients, health care providers, persons at risk for exposure and infection and adolescents and young adults.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations governing this program are published under 42 CFR Part 5lb. Guidelines are available. PHS Grants Policy Statement No. 77-50,000, October 1, 1976 (revised).

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Regional Health Administrator of the appropriate HHS Regional Office. (See Appendix IV of the Catalog for a list of regional offices.)

**Headquarters Office:** Dr. William H. Foege, Director, Center for Disease Control, PHS, DHHS, 1600 Clifton Road, N.E., Atlanta, Georgia 30333. Telephone: (404) 329-3291.

**RELATED PROGRAMS:** 13.217, Family Planning Projects; 13.224, Community Health Centers; 13.246, Migrant Health Centers Grants; 13.260, Family Planning Services; 13.283, Center for Disease Control - Investigations and Technical Assistance; 13.823, Primary Care Research and Demonstration Projects; 13.855, Immunology, Allergic, and Immunologic Diseases Research; 13.856, Microbiology and Infectious Diseases Research; 13.865, Research for Mothers and Children; 13.977, Preventive Health Service - Venereal Disease Control Grants.

**EXAMPLES OF FUNDED PROJECTS:** Funding for projects during fiscal year 1981 was limited to hepatitis B vaccine trials, and the National VD Hotline.

**CRITERIA FOR SELECTING PROPOSALS:** Applications will be evaluated on the need for the proposal and its potential benefit(s) to VD control; possible effects upon local VD control programs; consistency with national program goals; specific and measurable objectives; a workable and meaningful plan for evaluation; and a sound operational plan that ensures the proposal can be carried out to reach stated objectives.

## 13.982 MENTAL HEALTH DISASTER ASSISTANCE AND EMERGENCY MENTAL HEALTH

### (Mental Health Disaster Assistance)

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF MENTAL HEALTH, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Disaster Relief Act of 1974, Public Law 93-288, Section 413.

**OBJECTIVES:** Provision of supplemental emergency mental health counseling to individuals affected by major disasters, including the training of volunteers to provide such counseling.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Provides funds for staff, travel, consultants and other expenses incident to the provision of mental health counseling to and referral of individuals in a disaster area. Funds may not be used for long-term treatment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants may be State, local non-profit agencies as recommended by the State Governor and accepted by the Secretary.

**Beneficiary Eligibility:** Individuals who were victims of major disasters.

**Credentials/Documentation:** Applicant must have ability to provide mental health services and training. Area must be declared a disaster area by the President of United States. Costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart O, Section 74.171 of the subpart, which applies to State and local governments is based on OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application form (PHS 5161-1) is submitted by the State Coordinating Officer to the Regional Director Federal Emergency Management Agency no later than 60 days following delcaration of a disaster. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by an objective review committee and recommended for approval or disapproval. Final determination for an award is made by Federal Emergency Management Agency. The NIMH is the responsible agency for compliance with Treasury Circular 1082. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Not later than 60 days following a major disaster declaration by the President of the United States.

**Range of Approval/Disapproval Time:** 30 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** 180 days with possible extension as approved by FEMA Regional Director.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly progress reports within 30 days of the end of the quarter within the grant period. Final progress report 90 days after termination. Expenditure reports 90 days after termination.

**Audits:** The Secretary and the Comptroller General of the United States, or any other duly authorized representatives, shall have access for the purpose of audit examination to any books, documents, papers, and records of the recipient that are pertinent to the assistance received under this title.

**Records:** Three year record retention requirements; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $273,074; FY 82 est Unknown; and FY 83 est Unknown. (Note: FY 82 and FY 83 funding not available because the Federal Emergency Assistance Administration gives money to fund this program and as yet, has not decided how much will be given to the program. Funding is partially contingent upon occurrence of disasters or emergencies with potential for mental health assistance.)

**Range and Average of Financial Assistance:** $80,000 to $100,000; $90,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, NIMH received 3 applications and issued 3 awards for Disaster Assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 42, Chapter 1, Part 28. Guidelines available in application kit. Disaster Assistance and Emergency Mental Health, DHHS Publication No. (ADM) 76-327.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact Regional Director, Federal Emergency Management Agency in appropriate regional office (see Appendix IV of the Catalog).

**Headquarters Office:** Dr. Mary Lystad, Chief, Disaster Assistance and Emergency Mental Health Section, National Institute of Mental Health, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1910.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Services provided to victims of hurricanes and volcano eruption.

**CRITERIA FOR SELECTING PROPOSALS:** Presidential declaration of the disaster area. Justified need for supplementary services.

## 13.983 HEALTH FACILITY ENERGY COST MANAGEMENT

**FEDERAL AGENCY:** BUREAU OF HEALTH FACILITIES, HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title XV, Public Law 93-641 as amended by Public Law 95-619, 42 U.S.C. 300 r.

**OBJECTIVES:** Promotion of an effective energy management program for purposes of reducing Federal outlays for health services reimbursement, and to help hospitals and communities plan for ways to meet health needs in the event of energy shortfalls.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides guidance information, training, conferences, workshops, and other technical assistance to health facilities. State and local public entities, national organizations and Federal agencies concerning cost avoidance and emerging energy efficient technologies in health service institutions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any private or public health facilities or entity operating, planning for, or concerned with the provision of health services.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-551.

**Obligations:** (Salaries and expenses) FY 81 est $468,500; FY 82 est $475,000; and FY 83 $518,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** 1) Co-sponsored a National Energy Contingency Planning Conference in December 1981; 2) Conducted three field tests for the Survival Management Strategy Training Course; 3) Initiated the PHS-wide energy management program; 4) Completed a project which developed a solar energy slide presentation; 5) Contract awarded for a national telecommunications conference on problems of energy shortfalls and price increases and solutions to these problems; 6) Contract awards are anticipated for the first half of FY 82 involving the assessment of the impact of microelectronics on energy and survival management strategies for health facilities; and 7) A conference is planned for FY 82 to discuss health/energy issued for the 80's with the National Alliance for Energy Contingency Planning for Health Resources.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Policy Notice 79-15. Reviews of applications for assistance under the National Energy Conservation Policy Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** HHS Regional Office, Regional Health Administrator, Facilities Development Branch.

**Headquarters Office:** Division of Energy Policy and Programs, Bureau of Health Facilities, Health Resources Administration, Public Health Service, DHHS, Hyattsville, Maryland 20782. Contact: Burt Kline, Director, Telephone: (301) 436-7263.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Examples of Funded Projects: Fifteen health facility solar energy demonstration projects (1978-80) funded through the Department of Energy.

**CRITERIA FOR SELECTING PROPOSALS:** Competitive/Cost sharing through a contract mechanism.

## 13.984 GRANTS FOR ESTABLISHMENT OF DEPARTMENTS OF FAMILY MEDICINE

### (Family Medicine Departments)

**FEDERAL AGENCY:** HEALTH RESOURCES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 780, Part D, Title VII, as amended; by Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:** To assist in establishing, maintaining or improving family medicine academic administrative units (which may be departments, divisions, or other units) to provide clinical instruction in family medicine in order that these units are comparable in status, faculty and curriculum to those other clinical units at the applying school.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may not be used for construction, patient services, or student assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be an accredited public or nonprofit private school of medicine or osteopathic medicine.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For existing schools: accredited by a recognized body or bodies approved for such purposes by the Secretary of Education. For new schools: a letter of reasonable assurance of accreditation from the Secretary of Education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation available from Headquarters and Regional Office staff. The standard application forms as furnished by Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit applications in accordance with instructions specificed in the application kits which may be obtained from the Headquarters Office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification in writing, Notice of Grant Award will be issued from Headquarters Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Furnished with application instructions.

**Range of Approval/Disapproval Time:** From 3 to 4 months.

**Appeals:** Appeal available only to grantees.

**Renewals:** Applications for annual continuation awards or for renewals must follow instructions.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** Funds are available for expenditure during appropriate budget period. Payment is made by letter of credit or monthly cash request system.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A progress report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period.

**Audits:** Grantees are subject to inspection and fiscal audit by persons designated by DHHS.

**Records:** Financial records must be kept available for 3 years after submission of expense report and three years after final disposition of nonexpendable property. If questions remain such as those raised as a result of audit, records must be retained until the matter is resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0712-0-1-550.

**Obligations:** (Grants) FY 81 $9,405,000; FY 82 est $7,680,000; and FY 83 est $7,048,000.

**Range and Average of Financial Assistance:** $51,314 to $400,922; $235,125.

**PROGRAM ACCOMPLISHMENTS:** There were 40 continuation awards made in FY 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Guide "Grants for Establishment of Departments of Family Medicine".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Health Administrator (see Appendix IV for listing).

**Headquarters Office:** Director, Division of Medicine, BHPr, HRA, PHS, DHHS, Ctr. Bldg., 3700 East-West Highway, Hyattsville, MD 20782. Program Contact: Dr. Kenneth Moritsugu, Telephone: (301) 436-6418. Grants Management Contact: Mr. John R. Westcott, Telephone: (301) 436-6564 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.379, Grants for Graduate Training in Family Medicine; 13.895, Grants for Faculty Development in Family Medicine; 13.896, Grants for Predoctoral Training in Family Medicine.

**EXAMPLES OF FUNDED PROJECTS:** No descriptions available at this time.

**CRITERIA FOR SELECTING PROPOSALS:** Competing applications are initially reviewed by non-Federal consultants whose recommendations are considered by the National Advisory Council on Health Professions Education. Approval of any application will be based on an analysis of the following factors: 1) the potential effectiveness of the proposed project in carrying out the training purposes of Section 780 of the PHS Act; 2) the extent of responsiveness to the project requirements, guidelines and application requirements; 3) the administrative and management capability of the application to carry out the proposed project in a cost effective manner; and 4) the potential of the project to continue on a self-sustaining basis after the period of grant support.

## 13.985 EYE RESEARCH—FACILITY CONSTRUCTION

### (Eye - Construction)

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 453, as amended, 42 U.S.C., Part 52b.

**OBJECTIVES:** To carry out a program of grants for public nonprofit vision research facilities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The main emphasis of projects sponsored by the program should be to expand clinical research capabilities in the broadest sense. This includes the integration of "dry" lab approaches; for example, psychophysical testing and related "wet" laboratory investigations such as experiments on animal models of human disease and dedicated clinical research activities. Facilities suitable for support under this program include: 1) completion of "shell" space in new and/or existing buildings (the building of new "shell" space is not allowed); 2) additions to existing building; 3) construction of new buildings; and 4) alterations and renovations of existing buildings. Proposed facilities must be part of an existing vision research effort or a developing vision research program. Facilities constructed may not be used to replace existing vision research facilities. Funds must be used for purposes stated in the approved grant application. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Except where otherwise prohibited by law, any nonprofit organization competent to carry out eye research is eligible to apply for support including universities, colleges, hospitals, public agencies or nonprofit research institutions.

**Beneficiary Eligibility:** Public and private nonprofit organizations and the public needing treatment for eye diseases.

**Credentials/Documentation:** The application should include a complete research program description (with staff curricula vitae), space requirement for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, the National Environmental Policy Act, and listing of all relevant licenses, permits, or other approvals required by State and local authorities. Costs will be determined in accordance with DHHS Regulations CFR 45, Part 74, Subpart Q. Appendix C of that subpart. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication assistance is available from address noted below under Information Contacts. Regional clearinghouse clearance is necessary. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application kits for construction programs will be available from Extramural and Collaborative Programs, National Eye Institute, 9000 Rockville Pike, Bethesda, MD 20205. Review procedure is according to NIH grant review procedures for research grants.

**Award Procedure:** Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Awards are made annually following the meeting of the National Advisory Eye Council in January.

**Deadlines:** Contact Headquarters Office for details.

**Range of Approval/Disapproval Time:** Nine to ten months.

**Appeals:** No formal appeal procedures. Reasons are given for disapproval, and reapplication information is provided as requested.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching contributions of 50 per cent will be required. This program has no statutory formula.

**Length and Time Phasing of Assistance:** Construction must be completed within time specified in grant award. Funds will be released in accordance with policies and procedures of the DHHS Federal Assistance Financing System (DFAFS).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grantee is responsible for performance of contractor.

**Audits:** Audit by government representatives may be made during construction or after final inspection of the facility has been completed and a final report of expenditures has been filed by the grantee.

**Records:** Information on maintenance of cost data records is provided at time of award.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0887-0-1-550.

**Obligations:** (Grants) FY 81 $0; FY 82 $3,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $100,001 to $500,000.

**PROGRAM ACCOMPLISHMENTS:** Information will be available at the close of fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** See 42 CFR 52.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. Ronald G. Geller, Associate Director for Extramural and Collaborative Programs, National Eye Institute, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-4903. (Use same 7-digit number for FTS.) Anna Marie Perrell, Chief, Extramural Services Branch,, National Institutes of Health, Bethesda, MD 20205. Telephone: (301) 496-5884. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 13.867, Retinal and Choroidal Diseases Research; 13.868, Corneal Diseases Research; 13.869, Cataract Research; 13.870, Glaucoma Research; 13.871, Strabismus, Amblyopia and Visual Processing.

**EXAMPLES OF FUNDED PROJECTS:** None to date. First awards scheduled for fiscal year 1982.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals will include assessments of: the scientific merit of the total vision program; the degree of the applicant's program relevance to the National Eye Institute; and the evaluation of the ongoing program for research pertinent to vision problems.

## 13.987 HEALTH PROGRAMS FOR REFUGEES

### (Immigration and Nationality Act)

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Immigration and Nationality Act, Section 412(c)(3), (50 U.S.C. app. 1211(c)(3)), as amended by the Refugee Act of 1980, Public Law 96-212; and the Omnibus Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** The purpose of this grant program is to assist States and localities in meeting the public health needs of their refugee population and in providing general health assessments of refugees when necessary.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for costs associated with planning, organizing, implementing, and evaluating public health and health assessment activities directed to refugees. Grant funds may not be used for construction costs or inpatient care. Except in special situations which are explained and justified to the satisfaction of the Regional Health Administrator, grant funds will not be available for direct curative or rehabilitative services. This includes subsequent diagnostic or treatment services provided directly to individual refugees for whom specific health problems have been identified. It is expected that other sources of support will generally be identified for these purposes. Exceptions will be considered for diagnostic and treatment services which are integral to the conduct of public health programs and are otherwise not available.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Official State health agencies and, in consultation with the State health agency, health agencies of political subdivisions of a State.

**Beneficiary Eligibility:** Same as Applicant Eligibility. Funded programs are directed toward refugees as defined in Section 101(a)(42) of the Immigration and Nationality Act.

**Credentials/Documentation:** Applicants should document the need for assistance, state the objectives of the project, and outline the method of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications should be submitted to the Regional Health Administrator, Public Health Service, of the appropriate Department of Health and Human Services Regional Office.

**Award Procedure:** After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted 4 months prior to beginning date of period for which funds are requested. Grant funding cycles can be obtained from the appropriate Regional Health Administrator.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Although there are no specific matching or cost participation requirements for this program, the narrative may reflect the level of State and local resources to be contributed.

**Length and Time Phasing of Assistance:** Currently two years duration, and possibly three years pending outcome of the budget year appropriation request.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. Final financial status reports are required 90 days after the end of a project.

**Audits:** Grants subject to inspection and audit by representatives of HHS to determine, at a minimum, the fiscal integrity of financial transactions and reports and compliance with laws, regulations and administrative requirements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution on any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $4,839,000; FY 82 est $4,985,000; and FY 83 est $4,049,000.

**Range and Average of Financial Assistance:** Range $1,500 to $1,850,000; Average $109,977.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, program accomplishments included providing health assessments to 80.2 percent of the average 10,000 Indochinese refugees who arrived each month, identifying physical health problems in 70.8 percent of those receiving a health assessment, updating the immunization status of nearly all in whom the need exists, and identifying evidence of tuberculosis in 44.0 percent and parasitic infections in 50.7 percent of those refugees tested for these conditions.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations governing this program are under development.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Each Regional Health Administrator of the HHS Regional Offices is responsible for the administration of this program. (See Appendix IV for a list of Regional Offices.)

**Headquarters Office:** Dr. William H. Foege, Director, Centers for Disease Control, PHS, DHHS, Atlanta, Georgia 30333. Telephone: (404) 329-3291.

**RELATED PROGRAMS:** 13.814, Refugee Assistance—State Administered Programs; 13.815, Refugee Assistance—Voluntary Agency Programs.

**EXAMPLES OF FUNDED PROJECTS:** (1) A Statewide centralized project in which special regionalized centers are designated to provide uniform health assessments for all arriving refugees; (2) A Statwide decentralized project in which local areas submit individual contract proposals to provide health assessments within their own jurisdictions; (3) A Statewide project which offers coordination, laboratory and technical assistance services to any health provider involved in refugee health assessments; (4) A

Countrywide project to develop a network of refugee health assessment, outreach, and referral services; (5) A Citywide project to supplement an existing refugee health assessment initiative with administrative, clerical, and ancillary medical personnel to expand available services.

**CRITERIA FOR SELECTING PROPOSALS:** Applications will be reviewed on the basis of (1) the size of the officially arriving refugee population; (2) the extent and impact of secondary in-migration; (3) the extent of health problems among refugees; (4) the need for assistance in addressing health problems; and (5) the capability and demonstrated effectiveness in delivering or coordinating the delivery of needed services, including the establishment of referral programs and the identification of financing arrangements for services.

## 13.988 COOPERATIVE AGREEMENTS FOR STATE—BASED DIABETES CONTROL PROGRAMS

**FEDERAL AGENCY:** CENTERS FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service, Section 301(a), 42 U.S.C. 241a, as amended by the Health services and Centers Amendments of 1978, Public Law 95-626; The Omnibus Reconciliation Act of 1981, Public Law 97-35; and Federal Grants and Cooperative Agreement Act of 1977, Public Law 95-224.

**OBJECTIVES:** The purpose of the coperative program is to improve the quality of life and effectiveness of health services for diabetes.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Cooperative Agreement funds may be used for costs associated with planing, implementing and evaluating state-based diabetes control programs. Cooperative Agreement funds may not be used for direct curative or rehabilitive services unless these services have been identified by the program as interventions aimed at improving the quality, accessibility and effectiveness of diabetic care and follow-up among defined populations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are the official State health agencies of the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, Trust Territory of the Pacific Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa. the District of Columbia, the Commonwealth of Puerto rico, the Virgin Islands, Guam, Trust Territory of the Pacific Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants should document the need for assistance, state the objectives of the project, outline the method of operation and evaluation, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and area-wide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised), and the review requirements of the National Health Planning and Resources Development Act of 1974 as amended by the Health Planning and Resources Development Amendments of 1979.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Information on the submission of applications may be obtained from the Chief, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control, Atlanta, Georgia 30333.

**Award Procedure:** After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. The designated State Central Information Reception Agency is also notified in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted four months prior to the beginning date of period for which funds are requested.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Same as Application Procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No specific matching funds are required; however, the application should include data on the applicant's contribution to the overall program costs and a financial commitment to continuation of the program in future years.

**Length and Time Phasing of Assistance:** Project Period - variable; budget period - 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required quarterly. A plan of action is required annually. Special studies will require protocols, subject to approval. Financial status reports are required no later than 90 days after the end of each specified reporting periods. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:** Projects are subject to inspection and audit by representatives of HHS to determine, at a minimum, the fiscal integrity of financial transactions and reports and compliance with laws, regulations, and administrative requirements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $3,000,000; FY 82 $3,700,000; and FY 83 est $3,700,000.

**Range and Average of Financial Assistance:** Range: $64,000 to $411,684; Average: $179,626.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980 eight States were awarded cooperative agreements totaling $1,250,000. In fiscal year 1981, 12 States, orignally under contract, were converted to cooperative agreements totaling $2,715,000. Since it was expected that $3 million would be available in fiscal year 1981, the remaining $285,000 will be available as supplemental awards to these 20 states. In fiscal year 1982, DCP plans to provide continued technical assistance and cooperative agreement funds to 20 project States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations governing this program are under development. Guidelines are available. PHS Grants Policy Statement No. 77-50,000, October 1, 1976 (revised) applies to cooperative agreements.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. William H. Foege, Director, Centers for Disease Control, PHS, DHHS, Atlanta, Georgia 30333. Telephone: (404) 329-3291.

**RELATED PROGRAMS:** 13.283, Center for Disease Control—Investigations, and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** All funded projects are State-based Diabetes Control Programs. The programs move through development phases. The first is a planning and implementation phase. The second is an implementation phase, which includes special studies and interventions. Examples of interventions are: (1) involving third party payers in planning, implementation and evaluation of ambulatory patient education and follow-up, (2) conducting through home health agencies intensive in-home patient education to supplement hospital-based programs; (3) establishing a statewide system of diabetes nurse specialists to coordinate health care services and to collect resource and morbidity data.

**CRITERIA FOR SELECTING PROPOSALS:** Technical Criteria for Project Narrative: (1) How the project will be administered (organizational setting and support for the project). (2) How the core staff will be recruited and qualifications of existing staff (availability and qualifications of Project Director and key personnel; demostrated capabilities and relevant experience). (3) How the baseline assessment of existing morbidity, mortality and care resources information has been or will be completed in terms of the problem oriented planning process. (Clarity and scientific merit of assessment/planning approch). (4) How existing morbidity and mortality data and care resources information has been or will be used in terms of the problem oriented planing planning process. (Consideration and usage of available data). (5) How ongoing capacity-building activities will be or are being conducted, i.e., epidemiology, surveillance, planning, evaluation and coordination. (Clarity and soundness of capacity-building activities). (6) How the interventions aimed at reducing morbidity and mortality in defined diabetic populations will be or were formulated, implemented and evaluated. (Clarity and technical soundness; consistency with the problem-oriented planning process; demonstration value). (7) How interested parties will be or have been involved, including third party payers, voluntary agencies, medical schools, and professional organizations. (Clarity and soundness of framework for coordination, communication and consensus building). (8) How the program evaluation (process and outcome) is being or will be designated and conducted. (Objectives, methods, and resource requirements stated in measurable terms; linked to program goals/outcomes). (9) How and when the State-based program will expect to become self-sustaining. (Commitment to becoming self-sustaining, reasonableness and soundness of approach; in-kind contributions identified). Budget: (1) Appropriateness and reasonableness of funds requested to carry out project activities and objectives during the first project year. (Note any recommended increases or decreases by object class on a separate page). (2) Reasonableness of estimated amounts for the next four years. (If the first year is devoted to planning/assessment activities, the estimated budget may reflect higher intervention costs in future years).

## 13.989 SENIOR INTERNATIONAL AWARDS PROGRAM

**FEDERAL AGENCY:** NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Section 301 (c) and 307(b); 42 USC 241 and 242(f).

**OBJECTIVES:** 1) To promote the exchange of ideas and information about the latest advances in the biomedical and behavioral sciences, between U.S. biomedical scientists and those of other nations of the world; and 2) To bring to the foreign and U.S. institutions the knowledge and professional scientific background which will lead to improvement in the biomedical research potential of both institutions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Fellowships may support stipends, travel and minimal incidental research supplies as required to perform the research effort. Restrictions are imposed against the use of funds for enterainment, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants for Senior International Awards must be U.S. citizens, or have been admitted for permanent residence in the U.S. and possess a permanent visa at the time of award; have at least 5 years experience in biomedical research, teaching or other relevant professional experience in the medical and biological sciences beyond the doctorate or an equivalent professional medical degree; hold a full time appointment on the staff of the U.S. nominating institution; have an understanding with a foreign host institution that the applicant will be able to pursue the scientific objectives of the fellowship as stated in the application, and be nominated by the Dean or the appropriate institutional official.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Non-U.S. citizens must submit a notarized statement that they have a visa for permanent residence prior to award.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Staff advice is available on request. Application forms are available through the office of sponsored research at the applicant's Institution.

**Application Procedure:** Applications are submitted on designated forms together with a letter of nomination from the Dean of the School of Medicine, Department Chairman, or other appropriate individual at the applicant's institution. The applicant must also submit a letter of invitation from an apropriate official at the foreign host institution. Applicants should send this material to the Division of Research Grants, National Institutes of Health, Bethesda, MD 20205.

**Award Procedure:** All accepted applicatons are evauated by an appropriate initial review group (Study Section). All applications receive a final, secondary review by the Fogarty International Center Program Review Committee. Staff informs applicants of the results of the Rev. EW. If support is contemplated, staff initiates preparation of awards.

**Deadlines:** June 1 of each year.

**Range of Approval/Disapproval Time:** Five to seven months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Three to twelve months of support are awarded with no extensions beyond one year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A final progress report is required within 30 days of terminations.

**Audits:** All records must be held by Grantee for at least 3 years whether audit was performed or not.

**Records:** All fiscal records must be held for at least three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0819-0-1-552.

**Obligations:** FY 81 $662,000; FY 82 est $682,000; and FY 83 est $899,000.

**Range and Average of Financial Assistance:** $12,000 to $37,100; $29,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the program received 118 applications and awarded 31 grants. Estimates for fiscal year 1982 are 55 applications received and 31 awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 42 CFR 52, NIH Guide for Grants and Contracts, and Supplements, and PHS Grants Policy Statement No. (OS) 77-50,000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not Applicable.

**Headquarters Office:** Chief, International Research Awards Branch, Fogarty International Center, Bethesda, MD 20205, Telephone: (301) 496-6688. (Use same 7-digit number for FTS.) Contact: Bettie J. Graham, Ph.D., Chief.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A study of the Three Dimensional Structure of Collagen--this study investigated the structure at the molecular level to elucidate the details of the electrostatic and other forces in the catalytic action of mineral deposition; Role of Non-HLA Antigens in Transplantation--an investigation of the immunological complex using the mouse as model.

**CRITERIA FOR SELECTING PROPOSALS:** The major elements in evaluating proposals include assesments of: The scientific merit of the collaborative research plan; The significance and scientific merit of the proposed study and its objectives; the competency of the proposed investigator and his foreign collaborator to successfully pursue the project; the adequacy and availablity of proposed facilities and resources; the likelihood that the project will be completed in the time proposed; the potential for broad scientific interchange; and the benefits that will accrue to the United States.

## 13.990 NATIONAL HEALTH PROMOTION TRAINING NETWORK

**FEDERAL AGENCY:** OFFICE OF DISEASE PREVENTION AND HEALTH PROMOTION, OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title XVII, Section 1701 (as amended), 42 U.S.C. 300k-1, 300o.

**OBJECTIVES:** To educate the public about environmental, occupational, societal and behavioral factors which affect health in order that individuals may make informed decisions about health-related behavior. The National Health Promotion Program is a Federal focal point for the development, implementation and coordination of programs that promote good health habits and programs that are designed to prevent disease and disability. These objectives are consistent with the General Authorities set forth in Section 1701(a) of the Public Health Service Act.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Assistance must be used to satisfy program needs of the National Health Promotion Activities Program, including but not limited to: reaching local human service agencies with training in conducting effective health promotion programs; identifying or developing materials for health promotion programs, such as model curricula for use by universities or community health promotion programs; adding to the scientific data base, especially to fill gaps identified in the "Objectives for the Nation"; identifying the needs of special population groups -- such as Blacks, Hispanics, Asian/Pacific Islander Americans, handicapped and elderly Americans -- and finding health promotion programs to meet those special needs; and facilitating health promotion activities at the local level from a central, national base, through education and locally organized activity.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private nonprofit organizations.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** Proof of nonprofit status is required. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for applicants that are state and local governments.

**Application Procedure:** Applications are obtained from and are submitted to: Program Management Officer, Office of Disease Prevention and Health Promotion, Room 719h, DHHS, 200 Independence Avenue, S.W., Washington DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Awards are made by the Office of Disease Prevention and Health Promotion, coordinated through the program staff of its organizational subunit, the Office of Health Information, Health Promotion and Physical Fitness and Sports Medicine. Review panels are used to evaluate and rank applications, and to recommend awards. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Contact Headquarters Office for details.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** None.

**Renewals:** Support is recommended for a specified project period. Prior to expiration of that period, the recipient may apply for a renewal of support for a new project period. An application for renewal is processed as a separate request.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Varies, but a project period is generally limited to five years or less. Within a project period, continuation applications must be submitted on a noncompeting basis for each year of support.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Because of substantial Federal involvement in the program, performance monitoring will be on a continuing basis. An annual Financial Status Report shall be submitted within 90 days after the close of the budget period.

**Audits:** Cooperative agreements are subject to periodic inspection and audit by Federal auditors. Audit is made in accordance with generally accepted auditing practices to determine that there is a proper accounting and use of funds.

**Records:** Three year record retention requirements; records should be retained beyond the three year period if audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1101-0-1-550.

**Obligations:** (Grants) FY 81 $174,820; FY 82 est $0; and FY 83 est $325,000.

**Range and Average of Financial Assistance:** $30,000 to $60,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1982 is the first year this program has been in actual operation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Health Education/Risk Reduction Grant Regulations, 42 CFR part 51g. "Healthy People: The Surgeon General's Report on Disease Prevention and Health Promotion"; Government Printing Office, Stock 017-001-00416-2 ($5.00) Superintendent of Documents, Washington, DC 20402. "Promoting Health/Preventing Disease: Objectives for the Nation"; Government Printing Office, Stock 017-001-00435-9 ($4.50) Superintendent of Documents, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Program Management Officer, Office of Disease Prevention and Health Promotion, 719H, DHHS, 200 Independence Avenue, S.W., Washington, DC 20201. Telephone: (202) 245-7611.

**RELATED PROGRAMS:** 13.226, Health Services Research and Development—Grants.

**EXAMPLES OF FUNDED PROJECTS:** The American Red Cross, the National Board of YMCAs, the National Coalition of Hispanic Mental Health and Human Services and the National Urban Leaue will work with the Office of Disease Prevention and Health Promotion under four cooperative agreements. Under the National Health Promotion Training Network, the four participating agencies will organize and coordinate the training of their staff members. In the first year of Training Network Activity, member agencies will survey their affiliates to identify existing health promotion programs in several basic areas: nutrition, fitness and exercise, smoking cessation, alcohol and drug use safety, stress management, hypertension control and general lifestyle skills.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals will be assessed according to ability to show: organizational goals consistent with the National Health Promotion Program; access to a nationwide network of local affiliates through which health information and health promotion resources can be decentralized; administrative capability and staff expertise to contribute to satisfaction of program need; detailed proposal including cost proposal in response to program announcement.

## 13.991 PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT

### (Preventive Block Grants)

**FEDERAL AGENCY:** CENTER FOR DISEASE CONTROL, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title XIX, Section 1905 as amended by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** The objective of the Prevention Block Grant is to provide States with supplemental resources for comprehensive preventive health services including emergency medical services, health incentive activities, hypertension programs, rodent control, flouridation programs, health education and risk reduction programs, home health services, and services for rape victims.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Except as described below, block grant funds may be used for the following: (a) Preventive health service programs for the control of rodents and school or community based flouridation programs; (b) Preventive health programs for screening, detection, diagnosis, prevention, referral, and followup for hypertension; (c) Community based programs to demonstrate and evaluate methods for organizing and delivering comprehensive health services to define populations. Programs designed to deter smoking and the use of alcoholic beverages among children and adolescents, and other risk reduction and health education programs; (d) Comprehensive public health services; (e) Demonstrate the establishment of home health agencies in areas where the services of such agencies are not available. (Funds may not be used for the direct provision of services); (f) Feasibility studies and planning for emergency medical services systems and the establishment, expansion, and improvement of such systems. (Funds may not be used for the costs of the operation of the systems or the purchase of equipment); (g) Providing services to rape victims ad for rape prevention (also planning, administration and educational activities relating to rape prevention). Amounts provided to each State for providing services to rape victims or for rape prevention must be used for such services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State governments and, in certain cases, Tribes or Tribal organizations within the States are eligible for Prevention Block Grants.

**Beneficiary Eligibility:** The general public will benefit from the objectives of this program.

**Credentials/Documentation:** Applications shall contain assurances that the State legislature has complied with provisions of and will meet the requirements of PHSA Title XIX, Section 1905.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Each State shall submit an application to the funding agency. No specific format is required.

**Award Procedure:** Information on the award procedure is not available at this time.

**Deadlines:** 30 days before the start of each quarter through the remainder of FY 1982.

**Range of Approval/Disapproval Time:** 3 weeks.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Generally, 12 month awards through the Letter-of-Credit system.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each State shall prepare and submit to the Secretary, annual reports on its activities to determine whether funds were expended as prescribed, if activities are consistent with the needs of the State, and to secure a record of the purposes for which funds were spent, and the progress made toward achieving the purposes for which funds were provided.

**Audits:** Annual audits are required to be conducted by an entity independent of any agency administering a program funded by these block grants. Within 30 days following the date each audit is completed, the Chief Executive Officer of the State shall transmit a copy of that audit to the Secretary of HHS.

**Records:** Each State must maintain records which are consistent with their State laws and requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0943-0-1-550.

**Obligations:** (Grants) FY 81 $0; FY 82 est $79,100,000; and FY 83 est $81,600,000.

**Range and Average of Financial Assistance:** A formula based on FY 1981 allocations to States will be used. Range will depend on appropriation level.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None. Where the law provides, the Secretary passes Departmental policy discretion through to the States.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Mr. Tom Ortiz, Assistant to Director (Field Activities), Centers for Disease Control, Atlanta, GA 30333, Telephone: (404) 329-3950.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Compliance with requirements of application procedure.

## 13.992 ALCOHOL AND DRUG ABUSE AND MENTAL HEALTH SERVICES BLOCK GRANT

## (ADMS Block)

**FEDERAL AGENCY:** ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Public Health Service Act, Title XIX, Part B, as amended by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To provide financial assistance to States and Territories to support projects for the development of more effective prevention, treatment, and rehabilitation programs and activities to deal with alcohol and drug abuse; and to support community mental health centers for the provision of services for chronically mentally ill individuals, severely mentally disturbed children and adolescents, mentally ill elderly individuals, identifiable populations which are currently underserved, and for coordination of mental health and health care services provided within health care centers.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds may be used at the discretion of the State to achieve the described objectives except that the amount allotted for mental health must be used to support community mental health centers that otherwise would have received direct grants under the Community Mental Health Centers Act; and of the amount allotted for substance abuse, not less than 35 per cent must be used for alcohol activities, not less than 35 per cent for drug abuse activities, and not less than 20 per cent for prevention/early intervention activities. Funds cannot be used for inpatient services, cash payments to recipients of health services, purchase of land or buildings, as non-Federal match, or to assist for-profit entities. Not more than 10 per cent of the allotment can be used to administer block grant funds.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and U.S. Territory Governments; Indian Tribes or Tribal organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Chief Executive of the State, Territory, Tribe or Tribal organization must apply annually for an allotment.

**Award Procedure:** Grant awards are issued directly by the ADAMHA to the designated State agency.

**Deadlines:** In FY 1982, applications for ADMS blocks must be submitted 30 days prior to the first day of the Federal fiscal year quarter in which the State wishes to receive the block grant.

**Range of Approval/Disapproval Time:** Not more than 30 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements.

**Length and Time Phasing of Assistance:** Each allotment is available for obligation over a 24-month period; payments are made through Letter-of-Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each State must prepare and submit an annual report of program activities and an annual audit report.

**Audits:** Each State must annually audit its expenditures under the block grant. Audits shall be conducted by an entity independent of the agency administering the grant and, insofar as practical, in accordance with the Comptroller General's standards for auditing.

**Records:** The State's laws and practices will govern.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1361-0-1-550.

**Obligations:** (Grants) FY 81 $0; FY 82 est $428,095,000; and FY 83 est $432,000,000.

**Range and Average of Financial Assistance:** $13,000 to $41,000,000; $6,795,000.

**PROGRAM ACCOMPLISHMENTS:** An estimated 63 applications will be received and funded in FY 82.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Part 96.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Mr. Richard Millstein (Telephone: (301) 443-4564) and Mr. John Spain (Telephone: (301) 443-4147), Office of the Administrator, ADAMHA/PHS, 5600 Fishers Lane, Rockville, Maryland 20857.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Applications must fulfill statutory and regulatory requirements.

## 13.994 MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANTS

**FEDERAL AGENCY:** HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** Social Security Act, Title V, Section 501(a) as amended by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35; 42 U.S.C. 701.

**OBJECTIVES:** To enable States to maintain and strengthen their leadership in planning, promoting, coordinating and evaluating health care for mothers and children and in providing health services for mothers and children who do not have access to adequate health care.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** States may use funds for the provision of health services and related activities, including planning, administration, education and evaluation consistent with the description of intended expenditures and statement of assurances. Funds may not be used for (1) inpatient services other than those provided to crippled children or to high risk pregnant women and infants and such other inpatient services as the Secretary may approve; (2) cash payments to intended recipients for health services; (3) purchase and improvement of land, construction or permanent improvement of buildings or purchase of major medical equipment; (4) matching other Federal grants; or (5) providing funds for research or training to any entity other than a public or private nonprofit entity.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Formula Grants are available to State Health Agencies.

**Beneficiary Eligibility:** Mothers, infants and children, particulary of low income families.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** No application necessary. Report of Intended Expenditures and Statement of Assurances required prior to allocation of funds.

**Award Procedure:** Funds are allocated to States by way of the Letter-of-Credit system subsequent to the acceptance of the Report of Intended Expenditures and Statement of Assurances.

**Deadlines:** September 1, 1982.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Funds will be made available annually to any State filing a complete submission.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** States must assure that 3 dollars of State or local funds will be identified for Maternal and Child Health purposes for every 4 dollars of Federal funds allotted through the formula mechanism.

**Length and Time Phasing of Assistance:** Funds are awarded annually and remain available for expenditure for the current and subsequent fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each State shall prepare and submit an annual report on its activities. Such reports will be in such form, and contain such information as the Secretary may require.

**Audits:** Each State will, not less often than once every two years, audit its expenditures in accordance with the Comptroller General's standards for auditing governmental organizations, programs and activities.

**Records:** Records of the recipient shall be made available to the Secretary to secure an accurate description of the activities for which funds were spent in achieving the purposes of this title. Public Inspection - States shall make available copies of reports and audits for public inspection within the State.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-0350-0-1-551.

**Obligations:** (Grants) FY 81 $0; FY 82 est $295,392,000; and FY 83 est $1,000,000,000 (Amount includes USDA's WIC Programs).

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Consolidated State Programs - Block Grant awards were first made in FY 1982 to 53 health jurisdictions during the transition of the program from categorical to Block Grants. Greater flexibility is provided to States in determining the health needs of their populations and the selection of priority health programs. States have full responsibility for planning, promoting, coordinating and administering health care programs for mothers and children.

**REGULATIONS, GUIDELINES, AND LITERATURE:** There are no specific program regulations. Only the general Block Grant regulations are currently applicable. Federal Register Vol. 46, No. 190, Dated October 1, 1981, pages 48582 - 48598.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office for Maternal and Child Health, Health Services Administration, Department of Health and Human Services, Room 7-39, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 443-2170 (Use same 7-digit number for FTS). Contact: Vince L. Hutchins, M.D.

**RELATED PROGRAMS:** 13.110, Maternal and Child Health Federal Consolidated Programs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 13.995 ADOLESCENT FAMILY LIFE DEMONSTRATION PROJECTS

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:** The Public Health Service Act, Title XX, as amended by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35; 42 U.S.C 300Z-2.

**OBJECTIVES:** To promote positive, family-centered approaches to the problem of adolescent premarital sexual relations, including adolescent pregnancy; to promote adoption as an alternative for adolescent parents; and to establish innovative, comprehensive, and integrated approaches to the delivery of care services for pregnant adolescents with primary emphasis on unmarried adolescents who are seventeen years of age and under and for adolescent parents.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds for services under this program can only be used to: (1) provide care services, prevention services, or both care and prevention services to eligible persons; (2) coordinate integrate and provide linkages among providers of care, prevention, and other services for eligible persons; (3) provide supplemental services where these services are not adequate or not available to eligible persons in the community and which are essential to the care of pregnant adolescents and to the prevention of adolescent premarital sexual relations and adolescent pregnancy; (4) plan for the administration and coordination of pregnancy prevention services and programs of care for pregnant adolescents and adolescent parents to further the objectives of this legislation; and (5) fulfill assurances required for grant approval.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments; any nonprofit public or private organizations.

**Beneficiary Eligibility:** Adolescents at risk of unintended pregnancies, pregnant adolescents, and adolescent parents.

**Credentials/Documentation:** The applicant must provide proof of nonprofit status. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; all other applicants in accordance with 45 CFR Part 74, Subpart Q.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95, (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applicants must indicate that a copy of the application has been forwarded to the appropriate Health Systems Agencies (HSAs) pursuant to Section 1513(e) of the Public Health Service Act, for review and comment or appproval or disapproval. The Governor(s) of the State(s) in which the project is to be located is to be given 60 days in which to review and comment on applications for funding under this authority.

**Application Procedure:** Application kits may be obtained from the Grants Management Officer, Office of Adolescent Pregnancy Programs, Office of the Assistant Secretary for Health, HHH Building, Room 725H, 200 Independence Ave., S.W., Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** All applications and proposals are read by a panel of Federal and nonfederal experts who make recommendations for action to the Office of Adolescent Pregnancy Programs. After considering the recommendation of this panel, the Director, Office of Adolescent Pregnancy Programs makes the final decision on the funding of approved applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadline dates will be announced annually in the Federal Register. For additional information, contact the Office of Adolescent Pregnancy Programs at the address cited under "Application Procedure".

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** None.

**Renewals:** Projects may be approved for a maximum of 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal participation is limited to 70 percent of total project costs for the first and second years, and decreases to 60 percent in the third year, 50 percent in the fourth year, and 40 percent in the fifth year of funding.

**Length and Time Phasing of Assistance:** Grants may not exceed 5 years. Payments will be made either on a monthly cash request basis or under a Letter-of-Credit. Necessary instructions for the appropriate type of payment will be issued at the time an award is made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grantees must submit annual and final progress reports. Expenditure reports are required 90 days after the end of each budget period.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. An audit by an independent accountant is required at least every 2 years.

**Records:** All project accounting, financial and program records must be retained for the periods specified in 45 CFR 74.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1101-0-1-550.

**Obligations:** (Grants) FY 81 $0; FY 82 est $7,600,000; and FY 83 est $11,500,000.

**Range and Average of Financial Assistance:** $75,000 to $400,000.

**PROGRAM ACCOMPLISHMENTS:** No projects have been funded as of yet.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program guidance is provided in the application kit.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Adolescent Pregnancy Programs, Office of the Assistant Secretary for Health, DHHS, Room 725-H, 200 Independence Ave., S.W., Washington, DC 20201. Telephone: (202) 472-9093.

**RELATED PROGRAMS:** 13.994, Maternal and Child Health Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:** No projects have been funded as of yet.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals must contain care and/or prevention services requirements specified in the statute. Priority will be given to applicants who: serve an area where there is a high incidence of adolescent pregnancy, where the incidence of low-income families is high and where the availability of programs of care for pregnant adolescents and adolescent parents is low.

# DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

## HOUSING-FEDERAL HOUSING COMMISSIONER

### 14.103 INTEREST REDUCTION PAYMENTS—RENTAL AND COOPERATIVE HOUSING FOR LOWER INCOME FAMILIES

### (236)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Section 236; Public Law 90-448; 12 U.S.C. 1715.

**OBJECTIVES:** To provide good quality rental and cooperative housing for persons of low-and moderate-income by providing interest reduction payments in order to lower their housing costs.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on mortgage loans. Insured mortgages may be used to finance the construction or rehabilitation of rental or cooperative detached, semidetached, row, walk-up, or elevator-type structures. The unit mortgage limits for nonprofit mortgagors are as follows: efficiency, $21,563; one bedroom, $24,662; two bedrooms, $29,984; three bedrooms, $38,379; four or more bedrooms, $42,756. Unit mortgage limits are somewhat higher for elevator type structures. In areas where cost levels so require, limits per family unit may be increased up to 75 percent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution sponsors. Public bodies do not qualify as mortgagors under this program.

**Beneficiary Eligibility:** Families and individuals, including the elderly and handicapped or those displaced by government action or natural disaster, eligible to receive the benefits of the subsidies must fall within certain locally determined income limits. Families with higher incomes may occupy apartments, but may not benefit from subsidy payments.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and qualifications of the mortgagor is submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Documentation regarding property characteristics and mortgagor qualifications is assembled by the mortgagee and submitted with the application. The sponsor will have a preapplication conference with the local HUD field office with multifamily processing. An impact statement is required for this program. (No new applications for project mortgage insurance are being accepted.)

**Application Procedure:** Sponsors submit FHA Form No. 2013, Application and other documentation for FHA Review of Proposed Development, to local HUD field office with muiltifamily processing. (No new applications for project mortgage insurance are being accepted.)

**Award Procedure:** The local office reviews the application to determine site appraisal and market analysis. Market need, correct zoning, environmental assessment and value of site fully improved are considered. The local office grants feasible proposals a tentative reservation of contract authority, and the sponsor is invited to apply for mortgage commitment, at which stage(s) further technical processing is completed. (No new applications for project mortgage insurance are being accepted.)

**Deadlines:** No new applications are being accepted.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Assistance payments are made monthly by HUD to the mortgagee, and may bring the effective interest rate paid by the mortgagor down to as low as one percent. Benefits received in this way are passed on to those families qualifying for assistance. Assisted families are required to pay for rent at least 25 percent of their adjusted income (income after certain allowable deductions), but not in excess of the fair market rent. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage term normally extends for 40 years. Interest reduction payments may extend for the full term of the mortgage. For individual families, assistance ceases when their income exceeds the maximum allowable for receiving the benefits of subsidy.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors of insured projects are required to submit an annual financial statement to HUD. Approved mortgagees, upon request by HUD, must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:** Tenant applications for assistance payments and annual recertifications must be forwarded to the Insuring or Area Office by the sponsor. Regular financial reports are also required. Mortgagees must service and maintain records in accordance with acceptable mortgage practices and HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0148-0-1-604; 86-0139-0-1-604; 86-4070-0-3-371.

**Obligations:** (Use of appropriation to liquidate contract authority) (Housing payments) FY 81 $661,001,000; FY 82 est $665,000,000; and FY 83 est $668,000,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** Except as necessary to meet bona fide commitments which cannot be met under the Lower Income Housing Assistance program, reservations for additional projects will not be made under the program. In fiscal year 1981, 217 units were insured for a value of $10,949,700. Cumulative totals through September 30, 1981 are 464,418 units insured with a value of $8,028,575,332.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet: Rental and Co-op Housing for Lower Income Families. No charge; 24 CFR 236 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate local HUD Office listed in the Catalog address appendix.

**Headquarters Office:** For Management Information: Director, Office of Multifamily Housing Management, Telephone: (202) 755-5756, and Director, Office of State Agency and Bond Financed Programs, Telephone: (202) 426-0730, Housing, Department of Housing and Urban Development, Washington, DC 20410.

**RELATED PROGRAMS:** 10.405, Farm Labor Housing Loans and Grants; 14.124, Mortgage Insurance—Investor Sponsored Cooperative Housing; 14.126, Mortgage Insurance—Management Type Cooperative Projects; 14.134, Mortgage Insurance—Rental Housing; 14.137, Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate; 14.141, Nonprofit Sponsor Assistance Program; 14.149, Rent Supplements—Rental Housing for Lower Income Families; 14.158, Public Housing—Comprehensive Improvement Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.105 INTEREST REDUCTION—HOMES FOR LOWER INCOME FAMILIES

### (235(i))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Section 235(i); Public Law 90-448; 12 U.S.C. 1715(b), 1715(z); Public Law 94-375, 12 U.S.C. 1715z.

**OBJECTIVES:** To make homeownership more readily available to lower income families by providing interest reduction payments on a monthly basis to lenders on behalf of the lower income families.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on mortgage loans. These loans may be used to finance the purchase of a new or substantially rehabilitated single-family dwelling or condominium unit approved prior to beginning of construction or beginning of substantial rehabilitation. Maximum insurable loans for an occupant mortgagor are as follows: 3-bedroom home, $40,000, or up to $47,500 in high cost areas. For a large family, the limit for a 4-bedroom home is $47,500, or up to $55,000 in high cost areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Families, handicapped persons or single persons 62 years old or older are eligible to receive the benefits of the subsidies and the mortgage insurance if they fall within established income limitations and are otherwise eligible as explained in program literature.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the purchaser is assembled by the mortgage lender submitting the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application conference with the mortgage lender submitting the application is suggested. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). HUD Regional and field Offices will transmit a copy of the initial application to the appropriate State clearinghouses and metropolitan or regional clearinghouses. An environmental impact statement is required for this program.

**Application Procedure:** Application, along with necessary exhibits, is submitted to local HUD Field Office through the approved mortgage lender.

**Award Procedure:** The HUD office informs the mortgage lender of approval or disapproval.

**Deadlines:** Applications for Section 235 assistance may not be approved after March 31, 1982, except for units in certain areas for which statutory exemption has been provided.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the home purchaser.

**Appeals:** HUD will state the reason for refusing an application. The applicant may reapply, subject to concurrence of the mortgage lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For eligible families, down payment must be 3 percent of the acquisition cost. Assistance payments are made monthly to the lender and may reduce the effective interest rate paid by the homeowner to as low as 8 percent. Assisted families are required to pay at least 20 percent of their adjusted income (gross income after certain allowable deductions) for mortgage payment. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors used for fund allocation are (1) current population by county from the source P-25, Census; (2) number of income eligible households by county from the source 1980 Census; (3) number of income eligible households with deficiences by county from the source 1980 Census; (4) number of families with incomes below 95 percent of the county median family income from the source Annual Housing Survey. Statistical factors used for eligibility are (1) taxable payroll per employee by county from the source County Business Patterns, Census; and (2) family income calculated from 3 sources, 1980 Census; P-60, Census; and Annual Housing Survey, Census.

**Length and Time Phasing of Assistance:** Interest reduction payments may extend for the full mortgage term, but cease when the assisted family's income exceeds the maximum allowable for receiving the benefits of the subsidy. The mortgage term may extend for 30 years. The Secretary is required to recapture assistance payments made on behalf of Section 235 mortgagers who are approved for Section 235 mortgage insurance after May 27, 1981 based on the lesser of the amount of assistance actually received or 50 percent of the property's net appreciation.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** To allow the proper adjustment in the subsidy, the purchaser is required to recertify his income and family status annually.

**Audits:** Same as Reports. The Department of Housing and Urban Development reserves the right to audit the accounts of mortgage lenders to determine compliance with the regulations and standards.

**Records:** Forms to be used for recertifications are supplied by the mortgage lenders and all lenders are required to maintain records in accordance with acceptable mortgage practices.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0139-0-1-604; 86-0148-0-1-604; 86-4070-0-3-371.

**Obligations:** (Use of appropriation to liquidate contract authority) (Housing payments) For the original program, FY 81 $87,751,000; FY 82 est $80,000,000; and FY 83 est $71,000,000. For the revised program, FY 81 $111,839,000; FY 82 est $211,000,000; and FY 83 est $269,000,000.

**Range and Average of Financial Assistance:** Estimated average $531 per year in interest subsidy payments per unit for the original program and $2,436 per unit per year for the revised program.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 37,580 units were insured under the revised program with a value of $1,439,067,485. Cumulative totals through September 30, 1981 are 473,032 units insured with a value of $8,456,660,790 under the original program and 81,519 units insured with a value of $2,899,835,251 under the revised program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD Handbook, FHA 4210.1, "Homeownership for Lower Income Families;" 24 CFR 235.1 et seq; Fact Sheet: "HUD's Homeownership Subsidy program," no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** For Production Information: Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720. For Management Information: Director, Single Family Loan Servicing Division, Office of Single Family Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6700.

**RELATED PROGRAMS:** 14.110, Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers; 14.112, Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects; 14.117, Mortgage Insurance—Homes; 14.120, Mortgage Insurance—Homes for Low and Moderate Income Families; 14.124, Mortgage

Insurance—Investor Sponsored Cooperative Housing; 14.126, Mortgage Insurance—Management Type Cooperative Projects; 14.133, Mortgage Insurance—Purchase of Units in Condominiums; 14.147, Low Income Housing—Home Ownership Opportunities for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.108 REHABILITATION MORTGAGE INSURANCE

### (203(k))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 203(k); Public Law 95-557; 12 U.S.C. 1709, 1715(k).

**OBJECTIVES:** To help families repair or improve, purchase and improve, or refinance and improve existing residential structures more than one year old.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on loans. These loans may be used to: (1) Rehabilitate an existing 1 to 4 unit dwelling which will be used primarily for residential purposes; (2) rehabilitate such a structure and refinance the outstanding indebtedness; or (3) purchase and rehabilitate such a structure. Maximum insurable mortgage loans for an occupant mortgagor are the same as prescribed for Section 203(b).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A, of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted to the local HUD Field Office through an FHA approved mortgagee.

**Award Procedure:** Application approved or disapproved by the local HUD Field Office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 2 days for approval of the property and 3 for approval of the mortgagor.

**Appeals:** HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum loan amount is the same as Section 203(b). Value is determined by either (a) the value of the property before rehabilitation plus the cost of rehabilitation, or (b) the appraised value of the property after rehabilitation, whichever is less. The interest rate will be the same as Section 203(b). The loan may be subordinated to an existing first mortgage, or there may be insured advances during the rehabilitation period if the loan is a first lien. The lender may charge a 2-1/2 percent loan origination fee for the portion of the loan which is allocated to rehabilitation when there are insured advances. Also, the lender may charge the mortgagor fees in the nature of discounts.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 30 years, or three-fourths of the remaining economic life of the property, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Loans insured) FY 81 $17,000; FY 82 est $133,000; and FY 83 est $172,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1 mortgage with 1 unit valued at $17,000 was insured. Cumulative totals through September 30, 1981, were 2,960 home units insured, with a value of $17,910,520.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD Residential Rehabilitation Program, no charge; Fact Sheet: Rehabilitation Mortgage Insurance, no charge. 24 CFR 203.50.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office. See Catalog address appendix for a list of offices.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.117, Mortgage Insurance—Homes; 14.123, Mortgage Insurance—Housing in Older, Declining Areas; 14.147, Low Income Housing—Homeownership for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.110 MANUFACTURED (MOBILE) HOME INSURANCE—FINANCING PURCHASE OF MOBILE HOMES AS PRINCIPAL RESIDENCES OF BORROWERS

### (Title I)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Title I, Section 2, 12 U.S.C. 1703.

**OBJECTIVES:** To make possible reasonable financing of mobile home purchases.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on loans. Insured loans may be used to purchase manufactured (mobile) home units by buyers intending to use them as their principal place of residence. The maximum amount of the loan is $22,500 ($35,000 if two or more modules are to be financed). The borrower must give assurance that the unit will be placed on a site which complies with FHA standards and with local zoning requirements.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the manufactured (mobile) home unit and the qualifications of the borrower are submitted to the lender.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application is submitted to an FHA-approved lender for review and approval.

**Award Procedure:** None (See Application Procedure).

**Deadlines:** None.

**Range of Approval/Disapproval Time:** HUD does not ordinarily participate in the approval or disapproval of individual loans.

**Appeals:** The applicant may reapply.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** HUD insures private lenders against losses of up to 90 percent of any single loan with maximum insurance coverage limited to a total of 10 percent of the total amount insured. A low down payment is required. There is a finance charge of 19 percent (annual percentage rate). Insurance charges are 54 cents per $100 per year of the amount advanced (included in financing charge).

**Length and Time Phasing of Assistance:** The loan term may extend for up to 20 years and 32 days for single wide units and 20 years and 32 days for double wide units.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual delinquency report (call report) is required of each lender.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of lenders in order to determine their compliance and conformance with FHA regulations and standards.

**Records:** Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** Loans reported under program No. 14.142.

**Range and Average of Financial Assistance:** Maximum amount of loan is $22,500 ($35,000 for two or more modules).

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 24,769 units were insured with a value of $397,805,646. Cumulative totals through September 30, 1981 were 151,415 units insured with a value of $1,981,720,238.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 201.501 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Office of Title I Insured Loans, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6880.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.127, Mortgage Insurance—Manufactured (Mobile) Home Parks; 14.142, Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures; 64.119, Veterans Housing—Mobile Home Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.112 MORTGAGE INSURANCE—CONSTRUCTION OR SUBSTANTIAL REHABILITATION OF CONDOMINIUM PROJECTS

### (234(d))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended by the Housing Act of 1964, Section 234(d), Public Law 88-560; 1968, Section 234(c), Public Law 90-448, 82 Stat. 476, 507; 1969, Section 234(c), Public Law 91-152, 83 Stat. 379, 384; 12 U.S.C. 1715(y).

**OBJECTIVES:** To enable sponsors to develop condominium projects in which individual units will be sold to home buyers.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the construction or rehabilitation of multifamily housing structures by a sponsor intending to sell individual units as condominiums, which also would be eligible for the benefits of mortgage insurance under Section 234(c). Maximum insurable loans for a non-elevator building are as follows: efficiency, $19,500; one bedroom, $21,600; two bedrooms, $25,800; three bedrooms, $31,800; four or more bedrooms, $36,000. Unit mortgage limits are somewhat higher for elevator-type structures. In areas where cost levels so require, the mortgage limits may be increased up to 75 percent, with authority to increase up to 90 percent on a case-by-case basis.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible sponsors include investors, builders, developers, public bodies, and others who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:** All families are eligible to purchase condominium units. Mortgages for individual units, may not exceed $67,500, except that the Secretary may increase the preceding mortgage amount on an area by area basis to the extent the Secretary deems necessary, but in no case may such limits as so increased, exceed the lesser of 111 percent of such amount or 95 percent of the median one family house price in the area. See program 14.133.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have an initial review site appraisal and market analysis with the local HUD Field Office to determine the preliminary feasibility of the project before an application is submitted. Applications involving 25 or more units in non-urban areas and 50 or more units in urban areas are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). HUD Regional and Area Offices will transmit a copy of the commitment application to the appropriate State clearinghouses and metropolitan or regional clearinghouses. An environmental review is made. An environmental impact statement is usually not required except for very large projects. (500 to 2500 units, depending on size of community). (See 24 CFR, Part 50, Section 50.31).

**Application Procedure:** The sponsor submits a formal application through an FHA approved mortgagee to the local HUD Insuring or Area Office.

**Award Procedure:** The Area or Insuring Office Director makes final decisions to approve, hold, or reject individual projects.

**Deadlines:** Deadlines are established on a case-by-case basis by the local insuring office, and are mutually agreed to at the pre-commitment conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 6 to 9 months from the first conference with HUD to the issuance of a firm commitment; however in Insurance Upon Completion, Modified Form, using Simplified Processing, the approximate time is only 4-6 weeks.

**Appeals:** If an application for mortgage insurance is refused, FHA will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most mortgagors, the maximum amount of the loan is 90 percent of the replacement cost or sum of the unit mortgage amounts, whichever is less. The HUD site appraisal and market analysis application and commitment fee is $3.00 per $1,000 of the mortgage amount, and the HUD inspection fee may not exceed $5.00 per $1,000 of the mortgage amount, except that in all cases the combined application, commitment and inspection fee shall aggregate no less than $65 per unit for new construction or $50 per unit in rehabilitation cases. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium.

**Length and Time Phasing of Assistance:** The maximum mortgage term is 40 years, or not appreciably in excess of three-quarters of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by FHA. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to FHA. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $54,532,872; FY 82 est $35,344,000; and FY 83 est $14,997,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 45 projects with 2,263 units valued at $54,532,872 were insured. Cumulative totals through September 30, 1981 were 787 projects with 43,579 units insured with a value of $446,607,053.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD-77-f(2), "Financing Condominium Housing", no charge; "HUD Mortgage Insurance Handbook No. 4580.1 For Condominium Housing Insured under Section 234 (d) of the National Housing Act"; "Bibliography of Economic, Financial and Legal Factors-Condominium and Cooperative Housing" (For sale by Superintendent of Documents, GPO, 45 ); HUD-321-F, "HUD-FHA Comparison of Cooperative and Condominum Housing", no charge; 24 CFR-234C; HUD-227-F, HUD-FHA Non-assisted Program for Condominium Housing, no charge. "Hud Mortagage Insurance Handbook No. 4265.1, Home Mortgage Insurance-Condominium Units, Section 234(c)", no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office. See Catalog address Appendix IV for a list of offices.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.133, Mortgage Insurance—Purchase of Units in Condominiums.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.115 MORTGAGE INSURANCE—DEVELOPMENT OF SALES TYPE COOPERATIVE PROJECTS

### (213 Development of Sales)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 213; Housing Act of 1950; Public Law 81-475; 12 U.S.C. 1715(e).

**OBJECTIVES:** To make it possible for nonprofit cooperative ownership housing corporations or trusts to sponsor the development of new housing that will be sold to individual cooperative members.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on mortgages. Insured mortgages may be used to finance construction of single-family detached, semi-detached, or row housing consisting of five or more units.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include nonprofit cooperative ownership housing corporations or trusts sponsors intending to sell individual units to cooperative members.

**Beneficiary Eligibility:** Members of the cooperative are eligible to purchase individual units in the project from the nonprofit cooperative sponsor with the aid of HUD-insured financing.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor has an initial conference with the local HUD Field Office to determine the preliminary feasibility of the project before a site appraisal and market analysis application is submitted. Applications involving 25 or more units in non-urban areas and 50 or more units in urban areas are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program-500 units to 2500 units, depending on size of community. (See 24 CFR, Part 50, Section 50.31).

**Application Procedure:** The sponsor may submit a site appraisal and market analysis (SAMA) application for review and approval or disapproval, through an FHA-sponsored mortgagee to the local HUD Field Office, or the mortgagee may submit an application for either a conditional commitment or a firm commitment and skip the SAMA stage.

**Award Procedure:** See Application Procedure.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Area or Insuring Office, and are mutually agreed to at the pre-commitment conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 6 to 9 months from the first conference with HUD to the issuance of a firm commitment.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amounts of the loans to the individual purchasers are 97 percent (100 percent if veteran) of the first $25,000 of value and closing costs; and 95 percent of the value and closing costs in excess of $25,000 not to exceed $67,500, except that the Secretary may increase the preceding mortgage amount on an area by area basis, as the Secretary deems necessary, but in no case may such limits as so increased exceed the lesser of 133 percent of such amount or 95 percent of the median one-family house price in the area. The downpayment is the difference between the maximum loan amount and the purchase price of the home. The current maximum interest rate is 16 1/2 percent plus one-half percent for insurance premium. The HUD application and commitment fee is $3 per $1,000 for the mortgage amount.

**Length and Time Phasing of Assistance:** The maximum mortgage term is 35 years, or not appreciably in excess of three-fourths of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) Reported under program 14.126.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** Cumulative totals through September 30, 1981 were 34,732 units insured with a value of $441,473,097.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD-17-F(3), "Let's Consider Cooperatives," no charge; 24 CFR 213-A; HUD Handbook No. 4550.6, "Sales Type Cooperatives," no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office. See Catalog address appendix for a list of offices.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.124, Mortgage Insurance—Investor Sponsored Cooperative Housing; 14.126, Mortgage Insurance—Management Type Cooperative Projects; 14.132, Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.116 MORTGAGE INSURANCE—GROUP PRACTICE FACILITIES

### (Title XI)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1966, Title XI; Public Law 89-754; Public Law 93-383; Public Law 96-153; 12 U.S.C. 1749.

**OBJECTIVES:** To help develop group practice facilities.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the construction or rehabilitation of facilities, including major movable equipment, for the provision of preventive, diagnostic, and treatment services by a medical, dental, optometric, osteopathic, or podiatric group.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private nonprofit sponsors (1) undertaking to provide comprehensive health care to members or subscribers on a group practice prepayment or fee-for-service basis, or (2) established for the purpose of improving the availability of health care in the community, which will make the group practice facility available to an eligible group. The owner (mortgagor) of the facility must be organized on a nonprofit basis, but may make it available to a practicing group through a lease.

**Beneficiary Eligibility:** Persons needing medical, dental, osteopathic, optometric or podiatric services are eligible.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have an initial conference with the local HUD Field Office to determine the preliminary feasibility of the project before a site appraisal and market analysis application is submitted. Applications are subject to State and areawide clearinghouses review pursuant to Procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Applications are also subject to review by the local Health Systems Agency. An environmental impact statement is required for this program.

**Application Procedure:** FHA procedures divide the process for filing an application for group practice facility mortgage insurance into two stages, the first being the "Preliminary Analysis" and the second being the "Application" itself. There is a $400 fee for preliminary analysis and the proposal may be made by the sponsor by filing a request for Preliminary Analysis, with the appropriate HUD Field Office. Formal application, through an approved mortgagee (lender), may be filed upon invitation after the preliminary analysis. The sponsor will have an initial conference with the local HUD Field Office to determine the preliminary site appraisal and market analysis of the project before a formal application is submitted.

**Award Procedure:** The sponsor submits a formal application through an HUD approved mortgagee to the local HUD Field Office for approval or disapproval.

**Deadlines:** Deadlines are established on a case-by-case basis by the local insuring office and are mutually agreed to at the pre-commitment conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, with HUD to the issuance of a firm commitment.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum insurable mortgage, would be equal to 90 percent of the estimated replacement cost of the facility, including major movable equipment. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The HUD fees are as follows: (1) for review of feasibility of group - $400; application fee - $3 per $1,000; inspection fee variable, but may not exceed $5 per $1,000. The service charge by the mortgagee may be up to two percent of the total mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 25 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to FHA. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices or prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $0; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** No mortgages were insured in FY 81. Cumulative totals through September 30, 1981 are 28 project mortgages with 878 units insured, with a value of $44,326,798.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD Handbook 4630.1- "Group Medical Practice Facilities," no charge; 24 CFR 1100 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office. See address appendix of the Catalog for a list of offices.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20110. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.151, Supplemental Loan Insurance—Multifamily Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.117 MORTGAGE INSURANCE—HOMES

## (203(b))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 203(b); Public Law 73-479; 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:** To help families undertake home ownership.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one- to four-family housing, as well as to refinance indebtedness on existing housing. Maximum insurable loans for an occupant mortgagor are as follows: one-family, $67,500; two family, $76,000; three-family $92,000; and four-family $107,000; except that the Secretary may increase the preceding maximum dollar amounts on an area-by-area basis to the extent the Secretary deems necessary, after taking into consideration the extent to which moderate and middle income persons have limited housing opportunities in the area due to high prevailing housing sales prices, but in no case may such limits, as so increased, exceed the lesser of (A) 133-1/3 percent of the dollar amounts specified above, or (B) in the case of a one-family residence, 95 percent of the median one-family house price in the area, as determined by the Secretary; in the case of a two-family residence, 107 percent of such median price; in the case of a three-family residence, 130 percent of such median price; or in the case of a four-family residence, 150 percent of such median price. Designated areas of limited housing opportunities and maximum mortgage amounts may be obtained from local Field Offices. Non-occupant Mortgagor: 85 percent of owner-occupant (non-veteran amount).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through an FHA approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 2 days for approval of the property and three days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families the maximum amount of the loan is 97 percent of the first $25,000 of estimated value and closing costs, plus 95 percent of the remainder. The downpayment would be the difference between the maximum loan amount and the purchase price of the home. In addition to the downpayment, the purchaser must pay for all items of prepaid expense. The current HUD maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The loan origination charge by the mortgage varies, but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 30 years, or three-fourths of the remaining economic life, whichever is less, except 35 years if the mortgagor is unacceptable under a 30-year term and the property was constructed subject to HUD or VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured-including funding for 14.118, 14.119, and 14.121) FY 81 $7,538,451,292; FY 82 est $11,448,203,000; and FY 83 est $16,256,802,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS for range. Average, $39,356.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 182,014 home mortgage units valued at $7,538,451,292 were insured. Cumulative totals through September 30, 1981 are 11,212,822 home mortgage units insured with a value of $161,106,408,504.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Home Mortgage Insurance," no charge; Fact Sheet; "HUD-FHA Program for Home Mortgage Insurance," no charge; 24 CFR 203.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.118, Mortgage Insurance—Homes for Certified Veterans; 14.119, Mortgage Insurance—Homes for Disaster Victims; 14.120, Mortgage Insurance—Homes for Low and Moderate Income Families; 14.121, Mortgage Insurance—Homes in Outlying Areas; 14.122, Mortgage Insurance—Homes in Urban Renewal Areas; 14.123, Mortgage Insurance—Housing in Older, Declining Areas; 14.140, Mortgage Insurance—Special Credit Risks; 14.147, Low Income Housing—Home Ownership Opportunities for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.118 MORTGAGE INSURANCE—HOMES FOR CERTIFIED VETERANS

## (203(b))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 203(b); Public Law 73-479; 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:** To help veterans undertake home ownership on a sound basis.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing single family housing, as well as to refinance indebtedness on existing housing. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any certified veteran.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** In most cases, the maximum amount of the loan is 100 percent of the first $25,000 of estimated value and closing costs, plus 95 percent of the remainder. The downpayment would be the difference between the maximum loan amount and the purchase price of the home, but in no case less than $200. This $200 may be applied to prepaid items. The current HUD maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The origination charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:** The mortgage terms may be extended for 30 years, or three-fourths of the remaining economic life of the property, whichever is less, except 35 years if the mortgagor is unacceptable under a 30-year term and the property was constructed subject to HUD or VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) reported under program No. 14.117.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 4,013 home mortgage units valued at $171,077,951 were insured. Cumulative totals through September 30, 1981 are 418,547 home mortgages insured with a value of $8,734,716,502.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Mortgage Insurance for Veterans, no charge; 24 CFR 203.18(b).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest HUD Area or Insuring Office listed in the Catalog appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes; 64.106, Specially Adapted Housing for Disabled Veterans; 64.114, Veterans Housing—Guaranteed and Insured Loans; 64.118, Veterans Housing—Direct Loans for Disabled Veterans; 64.119, Veterans Housing—Mobile Home Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.119 MORTGAGE INSURANCE—HOMES FOR DISASTER VICTIMS

### (203(h))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 203(h); Public Law 73-479; 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:** To help victims of a major disaster undertake homeownership on a sound basis.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing single family housing for the occupant-mortgagor who is a victim of a major disaster. The maximum insurable loan for such an occupant mortgagor is $14,400. In order to qualify for assistance the home must be in an area designated by the President as a disaster area.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any family which is a victim of a major disaster as designated by the President is eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan is 100 percent of the HUD estimated value. No downpayment is required. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The origination charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 30 years, or three-fourths of the property's remaining economic life, whichever is less, except 35 years if the mortgagor is unacceptable for a 30-year term and the property was constructed subject to HUD or VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) reported under program No. 14.117.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** No activity in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Home Mortgage Insurance, no charge; 24 CFR 203.18(e).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes; 59.008, Physical Disaster Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.120 MORTGAGE INSURANCE—HOMES FOR LOW AND MODERATE INCOME FAMILIES

## (221(d)(2))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1954, Section 221 (d) (2); Public Law 83-560; 12 U.S.C. 1715(b), 1715(1).

**OBJECTIVES:** To make homeownership more readily available to families displaced by urban renewal or other government actions as well as other low-income and moderate-income families.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed or existing low-cost one- to four-family housing or the rehabilitation of such housing. Maximum insurable loans for an occupant mortgagor are $31,000 for a single family home, or up to $36,000 for a single family home in high cost areas. For a large family (five or more persons) the limits are $36,000 for a single-family home, or up to $42,000 for a single-family home in high cost areas. Higher mortgage limits are available for two- to four-family housing.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply. Displaced families qualify for special terms. Certification of eligibility as a displaced family is made by the appropriate local government agency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through an FHA-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to the concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families purchasing single family units, the maximum amount of the loan is 97 percent of the appraised value, and closing costs. The down payment is the difference between the maximum loan amount and the purchase price of the home plus prepaid expenses. For displaced families the down payment required would be somewhat smaller, but in no event less than $200. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The loan origination charge by mortgagees varies, but may not normally exceed 1 percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 30 years except 35 or 40 years if the mortgagor is unacceptable under a 30-year term.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $215,037,267; FY 82 est $286,186,000; and FY 83 est $371,783,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 8,415 home mortgage units valued at $215,037,267 were insured. Cumulative totals through September 30, 1981 are 921,112 home mortgage units insured, with a value of $13,102,587,540.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet: "Homes for Low and Moderate Income Families (Mortgage Insurance)," no charge; 24 CFR 221.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.117, Mortgage Insurance—Homes; 14.123, Mortgage Insurance—Housing in Older, Declining Areas.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.121 MORTGAGE INSURANCE—HOMES IN OUTLYING AREAS

## (203(i))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 203(i); Public Law 73-479; 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:** To help families purchase homes in outlying areas.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one-family nonfarm housing, or new farm housing on two and one-half or more acres adjacent to an all-weather public road. The maximum insurable loan for an occupant mortgagor on a one-family home is 75 percent of the limit on the principal obligation applicable to Section 203(b).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families, the maximum loan is 97 percent of the first $25,000 of estimated value and closing costs, plus 95 percent of the remainder. The downpayment is the difference between the maximum loan and the purchase price of the home. In addition to the downpayment, the purchaser must pay for all items of prepaid expense. The current HUD maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The loan origination charge by the mortgagee varies but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 30 years or three-fourths of remaining economic life, whichever is less, except 35 years if the mortgagor is unacceptable under a 30-year term and the property was constructed subject to HUD and VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) reported under program No. 14.117.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 13 home mortgage units valued at $541,200 were insured. Cumulative totals through September 30, 1981 are 78,969 home mortgage units insured with a value of $599,508,100.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Home Mortgage Insurance," no charge; 24 CFR 203.18(d).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans; 14.117, Mortgage Insurance—Homes.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.122 MORTGAGE INSURANCE—HOMES IN URBAN RENEWAL AREAS

### (220 Homes)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1954; Public Law 83-560; 12 U.S.C. 1715(b), 1715(k).

**OBJECTIVES:** To help families purchase or rehabilitate homes in urban renewal areas.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance acquisition or rehabilitation of one- to 11-family housing in approved urban renewal or code enforcement areas. Maximum insurable loans for the occupant mortgagor are the same as prescribed for Section 203(b), plus $9,165 for each family unit over four. Properties must be constructed or rehabilitated pursuant to an approved urban renewal plan.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and three days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families, the maximum amount of the loan would be equal to 97 percent of the first $25,000 of estimated replacement cost and closing costs, plus 95 percent of the remainder. The downpayment would be the difference between the maximum loan amount and the purchase price of the home, or the estimated value, whichever is less. In addition, the purchaser must pay all items of prepaid expense. Special terms are available for qualified veterans. The current HUD maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The loan origination charge by the mortgagee varies but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 30 years or three-fourths of remaining economic life of the property, whichever is less, except 35 years if the mortgagor is unacceptable under a 30-year term and the property was constructed subject to HUD and VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $137,300; FY 82 est $192,000; and FY 83 est $250,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3 home mortgage units valued at $137,300 were insured. Cumulative totals through September 30, 1981 are 7,223 home mortgage units insured, with a value of $84,432,250.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Fact Sheet; Urban Renewal Housing (Mortgage Insurance)," no charge; "Fact Sheet: Major Home Improvements (Loan Insurance)," no charge; 24 CFR 220.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.123 MORTGAGE INSURANCE—HOUSING IN OLDER, DECLINING AREAS

## (223(e))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Section 223(e); Public Law 90-448; 12 U.S.C. 1715(b), 1715(n).

**OBJECTIVES:** To assist in the purchase or rehabilitation of housing in older, declining urban areas.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans pursuant to other sections of the National Housing Act. These loans may be used to finance the purchase, repair, rehabilitation, and construction of housing in older, declining urban areas where conditions are such that certain normal eligibility requirements for mortgage insurance under a particular program cannot be met. The property must be an acceptable risk giving consideration to the need for providing adequate housing for low-and moderate-income families. The determination of the use of Section 223(e) is at the discretion of HUD.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** HUD approval mortgagees.

**Beneficiary Eligibility:** For single family purposes, all families are eligible to apply through HUD approved mortgagees. Multifamily sponsorship is determined by applicable program requirements.

**Credentials/Documentation:** For single family applications, documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Documentation required for multifamily applications is determined by applicable program requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Sponsors of multifamily housing located in older, declining urban areas, may arrange a preapplication conference with the local HUD office for advice on best program for sponsor, and HUD procedures and requirements.

**Application Procedure:** Applications may be submitted at any time for review and approval or disapproval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time for single family applications is 2 days for approval of the property and 3 days for approval of the mortgagor. Normal processing time for multifamily applications is as follows: Site appraisal and market analysis, 45 days; conditional commitment application, 60 days; from commitment application, 60 days. SAMA and/or conditional commitment states of processing may be omitted.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may request the HUD-approved mortgage to seek HUD reconsideration.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Mortgages for housing eligibles under the special program may be insured under any one of several HUD programs. The maximum amount of the loan, the downpayment, and other mortgage terms vary according to the HUD program under which the mortgage is insured. The current HUD maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. Fees are established under the applicable HUD program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD, must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $64,369,921; FY 82 est $180,111,000; and FY 83 est $75,153,000.

**Range and Average of Financial Assistance:** Range varies: average $9,400.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,449 home mortgage units valued at $64,369,921 were insured. Cumulative totals through September 30, 1981 are 161,839 home mortgage units insured with a value of $2,536,449,805. For multifamily, cumulative figures through September 30, 1981 are 21,257 units insured with a value of $856,374,604.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD Handbook 4260.1, "Miscellaneous Type Home Mortgage Insurance, Section 223(a), (e), and (d)," no charge; 24 CFR 207.31a.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Single Family Development Division, Office of Single Family Housning, Telephone: (202) 755-6720, and multifamily Housing Management and Occupancy, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-5756.

**RELATED PROGRAMS:** 14.108, Rehabilitation Mortgage Insurance; 14.117, Mortgage Insurance—Homes; 14.120, Mortgage Insurance—Homes for Low and Moderate Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.124 MORTGAGE INSURANCE—INVESTOR SPONSORED COOPERATIVE HOUSING

## (213 Investor Sponsor)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act as amended, Section 213(a)(3); Housing Act of 1956; Public Law 84-1020; 12 U.S.C. 1715(e).

**OBJECTIVES:** To provide good quality multifamily housing to be sold to nonprofit cooperatives ownership housing corporations or trust.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on mortgages. Insured mortgages may be used to finance the construction or rehabilitation of detached, semi-detached, row, walk-up, or elevator type structures with 5 or more units. The unit mortgage limits for non-elevator buildings are as follows: Efficiency, $19,500; one bedroom, $21,600; two bedrooms, $25,800; three bedrooms, $31,800; four or more bedrooms, $36,000. Limits per family unit are somewhat higher for elevator buildings. In areas where cost levels so require, limits per family unit may be increased up to 75 percent, with authority to increase up to 90 percent on a case-by-case basis.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include investors, builders, developers, public bodies, and others who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:** Members of the nonprofit cooperative which purchases the project are eligible to occupy dwellings in the project on a cooperative ownership basis.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor has an initial conference with the local HUD Field Office to determine the preliminary feasibility of the project before a site appraisal and market analysis application is submitted. Applications involving 25 or more units in non-urban areas and 50 or more units in urban areas are subject to State areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is usually not required except for very large projects (500 units to 2500 units), depending on size of community. (See 24 CFR, Part 50, Section 50.31).

**Application Procedure:** The sponsor submits a formal application through an FHA-approved mortgagee to the local HUD Field Office. The Area Manager or Service Office Supervisor makes the final decision to approve, hold or reject individual projects.

**Award Procedure:** See Application Procedure.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office, and are mutually agreed to at the precommitment conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 6 to 9 months from the first conference with HUD to the issuance of a firm commitment.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan may be equal to 90 percent of the estimated replacement cost for proposed construction, and 90 percent of the appraised value after rehabilitation for rehabilitated structures. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The FHA application and commitment fee is $3 per $1,000 of the mortgage amount. The FHA-inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The maximum mortgage term is 40 years, or not appreciably in excess of three-fourths of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) reported under program No. 14.126.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** Reported under Program No. 14.126.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "HUD-FHA Program For Unsubsidized Cooperative Housing"-HUD-256-F, no charge; HUD-17-F(3) "Let's Consider Cooperatives," no charge; 24 CFR 213-A; "HUD-FHA Comparison of Cooperative and Condominium Housing"-HUD-321-F, no charge; "Bibliography of Economic, Financial and Legal Factors-Condominium and Cooperative Housing" (For sale by Superintendent of Documents, GPO, 451); HUD Handbook No. 4550.5, "Investor-Sponsor and Nonprofit Sponsorship of Housing Cooperatives, no charge; HUD Handbook 4240.3, Section 203(n), Application Through Insurance (Single Family), no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest HUD Field Office listed in Catalog address appendix.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.103, Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families; 14.105, Interest Reduction—Homes for Lower Income Families; 14.115, Mortgage Insurance—Development of Sales Type Cooperative Projects; 14.126, Mortgage Insurance—Management Type Cooperative Projects; 14.132, Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units; 14.134, Mortgage Insurance—Rental Housing; 14.137, Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.125 MORTGAGE INSURANCE—LAND DEVELOPMENT AND NEW COMMUNITIES

## (Title X)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1965 and thereafter, Title X; Public Law 89-117; 12 U.S.C. 1749(aa).

**OBJECTIVES:** To assist the development of large subdivisions or new communities on a sound economical basis.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to assist in financing the purchase of land and the development of building sites for subdivisions or new communities including water and sewer systems, streets and lighting, and other installations needed for residential communities. Nonresidential buildings, such as schools or commercial buildings, are not included, except for water supply and sewage disposal installations, clubhouses, and parking garages, owned and maintained jointly by property owners.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Prospective developers, subject to the approval of HUD, are eligible. Public bodies are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Land development must meet statutory and HUD requirements and receive all governmental approvals required by State or local law or by the Department of Housing and Urban Development.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a preapplication conference with the local HUD Field Office to discuss the project before a formal application is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). HUD Field Offices will transmit a copy of the initial application to the appropriate State clearinghouses and metropolitan or regional clearinghouses. An environmental assessment and an affirmative marketing plan are required for this program.

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Field Office.

**Award Procedure:** Upon approval of the application, the local HUD Field Office will issue a site analysis letter. If the sponsor accepts these findings he may submit more detailed information which may result in a commitment to insure, setting forth the maximum amount, form and interest rate, and stating the terms and conditions of the Secretary's guarantee.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD-Field office, and are mutually agreed to at the preapplication conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 3 to 9 months from the application to the issuance of a SAMA letter.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. The applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan guarantee may not exceed the lesser of: 85 percent of the Secretary's estimate of the value of the property upon completion of development; or the total of: (1) The Secretary's estimate of the development cost, plus (2) The greater of acquisition cost or all outstanding indebtedness secured by the land, plus (3) 50 percent of the difference between the applicable amount in item "2" and the Secretary's estimate of the value of the land before development; or 80 percent of the estimated value of the land before development plus 90 percent of estimated cost of development. The current maximum interest rate is established by the Secretary of HUD; the mortgage insurance premium varies, depending upon the term and purpose of the loan. The HUD application and commitment fee is $4.50 per $1,000. The origination charge by the mortgagee is 2 percent of the total mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 10 years, except longer for separate mortgages for water and for sewage systems.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement. Disbursement of mortgage proceeds is subject to cost certification.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $47,895,700; FY 82 est $10,853,000; and FY 83 est $4,606,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 4 projects with 1,625 lots were insured with a value of $47,895,700. Cumulative totals through September 30, 1981, were 51 projects with 27,648 lots insured with a value of $187,177,475.

**REGULATIONS, GUIDELINES, AND LITERATURE:** FHA Regulations- Subchapter V- Part 1000 Subparts A and B; HUD Handbook 4800.1; HUD-203F (Fact bulletin) 24 CFR 205.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 10.411, Rural Housing Site Loans; 14.153, Mortgage Insurance—Experimental Projects Other Than Housing; 14.207, New Communities—Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.126 MORTGAGE INSURANCE—MANAGEMENT TYPE COOPERATIVE PROJECTS

### (213 Management Type)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 213; Housing Act of 1950; Public Law 81-475; 12 U.S.C. 1715(e); 1969, Public Law 91-152, 83 Stat. 379, 383; 1955, Public Law 84-345, 69 Stat. 635; 1961, Public Law 87-70, 75 Stat. 149, 179; 1959, Public Law 86-372, 73 Stat. 654, 656; 1965, Public Law 89-117, 79 Stat. 451, 469; 1966, Public Law 89-754, 80 Stat. 1255-66.

**OBJECTIVES:** To make it possible for nonprofit cooperative ownership housing corporations or trusts to acquire housing projects to be operated as management-type cooperatives.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance construction, acquisition of existing, or rehabilitation of detached, semidetached, row, walk-up, or elevator type housing consisting of five or more units. The unit mortgage limits are as follows: efficiency, $19,500; one bedroom, $21,600; two bedrooms, $25,800; three bedrooms, $31,800; four or more bedrooms, $36,000. Limits per family unit are somewhat higher for elevator apartments. In areas where cost levels so require, limits per family unit may be increased up to 75 percent, with authority to increase up to 90 percent on a case-by-case basis.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors are nonprofit cooperatives, ownership housing corporations or trusts which may either sponsor projects directly, or purchase projects from investor-sponsors.

**Beneficiary Eligibility:** Members of the cooperative are eligible to occupy a dwelling in the structure whose mortgage is insured under the program.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor has an initial conference with the local HUD Field Office to determine the preliminary feasibility of the project before a site appraisal and market analysis application is submitted. Applications involving 25 or more units in non-urban areas and 50 units in urban areas are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). HUD Regional and Area Offices will transmit a copy of the initial application to the appropriate State clearinghouses and metropolitan or regional clearinghouses. An environmental impact statement is usually not required, except for very large projects (500 units to 2500 units) depending on size of community. (See 24 CFR 50.31).

**Application Procedure:** The sponsor submits a formal application through an FHA-approved mortgagee to the local HUD Insuring or Area Office.

**Award Procedure:** The local HUD Field Office makes final decisions to approve, hold, or reject individual projects.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office, and are mutually agreed to at the precommitment conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 9 to 12 months from the first conference with HUD to the issuance of a firm commitment.

**Appeals:** If any application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan may be equal to 98 percent of the estimated replacement cost. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The FHA application and commitment fee is $3 per $1,000 of the mortgage amount. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The maximum mortgage term is 40 years, or not appreciably in excess of three-fourths the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with the regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured-including funding for 14.124 and 14.132) FY 81 $0; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, no projects were insured. Cumulative totals through September 30, 1981 are 619 projects with 81,828 units insured with a value of $1,156,699,260.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "HUD 256-F, "HUD-FHA Program for Unsubsidized Cooperative Housing", no charge; HUD-17-F(3), "Let's Consider Cooperatives", no charge; 24 CFR 213-A, "HUD-FHA Comparison of Cooperative and Condominium Housing," no charge; HUD-321-F, "Bibliography of Economic Financial and Legal Factors-Condominium and Cooperative Housing." (For Sale by Superintendent of Documents, Government Printing Office, Washington, DC 20402, 45 cents); HUD Handbooks 4550.1 and 4550.2 "Basic Cooperative Housing Insurance, and Presale Management Type Co-ops", no charge; HUD Handbook 4240.3, Section 203(n), Application Through Insurance (Single Family), no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.103, Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families; 14.105, Interest Reduction—Homes for Lower Income Families; 14.115, Mortgage Insurance—Development of Sales Type Cooperative Projects; 14.124, Mortgage Insurance—Investor Sponsored Cooperative Housing; 14.132, Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units; 14.137, Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.127 MORTGAGE INSURANCE—MANUFACTURED (MOBILE) HOME PARKS

### (207 Mobile Home Parks)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act as amended 1955, Section 207; Public Law 84-345; 12 U.S.C. 1713.

**OBJECTIVES:** To make possible the financing of construction or rehabilitation of mobile home parks.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** FHA insures lenders against loss on mortgages. Insured mortgages may be used to finance the construction or rehabilitation of mobile home parks consisting of 5 or more spaces. The maximum mortgage limit is $8,000 per space. In areas where cost levels so require, limits may be increased up to $14,000 per space.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include investors, builders, developers and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:** Families or individuals owning mobile homes and desiring to lease spaces in a mobile home park.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor has an initial conference with the local HUD Office to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects or feasibility application (for substantial rehabilitation projects) is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental review is made. An environmental impact statement is usually not required except for very large projects.

**Application Procedure:** The sponsor submits an application for a SAMA or feasibility. The application for conditional and firm commitment are submitted by the sponsor through an approved mortgagee. Applications are submitted to the local HUD Field Office which does multifamily processing.

**Award Procedure:** If the project meets program requirements, the HUD Field Office issues a commitment to insure the mortgage to the lender.

**Deadlines:** Deadlines are established on a case-by-case basis by the local Hud Field Office.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, ranges from 3 to 12 months.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most mortgagors, the maximum amount of the loan may not exceed 90 percent of the estimated value. The current maximum permanent loan interest rate permissible is 16 1/2 percent plus one-half percent mortgage insurance premium. The HUD application processing fee is $3 per $1,000 of the mortgage amount. Only $1 per $1,000 is required at the initial application for (SAMA). No fee is required with a feasibility application for a rehabilitation project. The HUD-inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to FHA. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) Reported under program No. 14.134.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, no spaces were insured. Cumulative totals through September 30, 1981, are 378 projects with 64,686 spaces insured, with a value of $192,249,869.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 207.33 et seq.; Mobile Home Parks Financing, no charge; Housing Surveys, Part II; HUD Handbook 4545.1, Mobile Home Park Program, no charge; Minimum Design Standards for Mobile Home Courts, HUD Handbook 4940.5, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Multifamily Development Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Devlopment, Washington, DC 20410. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.110, Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers; 64.119, Veterans Housing—Mobile Home Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.128 MORTGAGE INSURANCE—HOSPITALS (242)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPEMNT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Section 242; Public Law 90-448; Public Law 92-609; Public Law 93-383; 82 Stat. 476. Public Law 95-128; Public Law 96-183.

**OBJECTIVES:** To make possible the financing of hospitals.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. The loans may be used to finance the construction or rehabilitation of private nonprofit and proprietary hospitals including major movable equipment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are a proprietary facility, or facility of a private nonprofit corporation or association, licensed or regulated by the State, municipality, or other political subdivision.

**Beneficiary Eligibility:** Persons needing the services of these hospitals are eligible to benefit by using the facilities covered under an insured mortgage.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Certificate of need from the State agency designated by the Department of Health and Human Services and approval by the local Health Systems Agency are required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An applicant will be required to furnish detailed information about the proposed hospital including State certification of need to a regional office of the Department of Health and Human Services, which is responsible for determining the feasibility of all proposals. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program.

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Field Office after first applying to the Department of Health and Human Services.

**Award Procedure:** The local HUD Field Office director makes final decisions to approve, hold, or reject individual projects.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Processing time depends upon the degree of preparation by the sponsor.

**Appeals:** If an application for mortgage insurance is refused, the reasons for the refusal will be stated. The applicant may reapply.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum mortgage amount may not exceed 90 percent of the estimated replacement cost. The current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The HUD application and commitment fee is $3 per $1,000 of the mortgage amount. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 25 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulation.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $56,953,000; FY 82 est $35,414,000; and FY 83 est $151,031,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3 project mortgages (591 beds) valued at $56,953,000 were insured. Cumulative totals through September 30, 1981 are 179 project mortgages (45,571 beds) insured with a value of $2,382,490,223.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Mortgage Insurance for Hospitals, (HUD Handbook 4615.1) no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest HUD Area or Insuring Office, or the nearest HHS regional offices listed in the address appendix of the Catalog.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.129, Mortgage Insurance—Nursing Homes and Intermediate Care Facilities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.129 MORTGAGE INSURANCE—NURSING HOMES AND INTERMEDIATE CARE FACILITIES

## (232)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 232; Housing Act of 1959; Public Law 86-372; Housing and Urban Development Act of 1969; Public Law 91-152; 73 Stat. 654 and 83 Stat. 379; Public Law 95-128; Public Law 95-557; Public Law 96-153.

**OBJECTIVES:** To make possible financing for construction or rehabilitation of nursing homes and intermediate care facilities, and to provide loan insurance to install fire safety equipment.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance construction or renovation of facilities to accommodate 20 or more patients requiring skilled nursing care and related medical services, or those while not in need of nursing home care, are in need of minimum but continuous care provided by licensed or trained personnel. Nursing home and intermediate care services may be combined in the same facility covered by an insured mortgage or may be in separate facilities. Major equipment for operation may be included in the mortgage.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include investors, builders, developers, and private nonprofit corporations or associations licensed or regulated by the State for the accommodation of convalescents and persons requiring skilled nursing care or intermediate care.

**Beneficiary Eligibility:** Patients requiring skilled nursing and/or intermediate care are eligible to live in a structure whose mortgage is insured under the program.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Certification of need and assurance of inspection and licensing by the State agency designated by the Public Health Service Act for the State in which the facility is to be located is required, as well as approval by the local Health Systems Agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have an initial conference with the local HUD Field Office to determine the preliminary feasibility of the project before a site appraisal and market analysis application is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program.

**Application Procedure:** The sponsor submits a formal application through a HUD approved mortgagee to the local HUD Field Office.

**Award Procedure:** The local HUD Field Office makes the final decision to approve, hold, or reject individual projects.

**Deadlines:** Deadlines are established on a case-by-case basis by the local insuring office, and are mutually agreed to at the pre-commitment conference.

**Range of Approval/Disapproval Time:** Processing time depends upon the degree of preparation by the sponsor.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan would be equal to 90 percent of the estimated value of the physical improvements and major movable equipment. Current maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The HUD site appraisal and market analysis application and commitment fee is $3 per $1,000 of the mortgage amount. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The maximum mortgage term is 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees at any time upon request by HUD must furnish copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $110,374,900; FY 82 est $68,632,000; and FY 83 est 29,130,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 31 projects (3,809 beds) valued at $110,374,900 were insured. Cumulative totals through September 30, 1981 are 1,322 projects (151,441 beds) insured with a value of $1,759,278,948.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet: Nursing Homes (Mortgage Insurance); Minimum Property Standards for Nursing Homes; (FHA Regulations). Handbook for Nursing Homes and Intermediate Care Facilities; (4600.1)(24 CFR 232).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20412. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.128, Mortgage Insurance—Hospitals; 14.151, Supplemental Loan Insurance—Multifamily Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.130 MORTGAGE INSURANCE—PURCHASE BY HOMEOWNERS OF FEE SIMPLE TITLE FROM LESSORS

### (240)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Section 240; Public Law 90-448; 12 U.S.C. 1715(b).

**OBJECTIVES:** To help homeowners obtain fee-simple title to the property which they hold under long-term leases and on which their homes are located.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on loans. These loans may be used to finance the purchase from lessors by homeowners of fee simple title to property which is held under long-term leases and on which their homes are located. For one- to four-family residences, the maximum amount insurable is the cost of purchasing fee-simple title, the value of the leased fee, or $10,000 ($30,000 if the property is located in Hawaii) per family unit, whichever is less.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All homeowners whose homes are located on property which is held under long-term ground leases are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application is submitted for review and approval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 2 days for approval of the property and 3 for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan is equal to the difference between the maximum amount prescribed under HUD's Section 203(b) program of mortgage insurance and current indebtedness on the property, subject to the $10,000 loan limitation ($30,000 in Hawaii). The current HUD maximum interest rate is 16 1/2 percent plus .5 percent for mortgage insurance premium. The origination charge by the mortgagee varies, but may not normally exceed one percent of the total loan.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 20 years, or three-fourths of the remaining economic life of the dwelling, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

***Account Identification:*** *86-4070-0-3-371.*

**Obligations:** (Mortgages insured) Not separately identifiable.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 2 fee simple title purchases with a value of $61,900. Cumulative totals through September 30, 1981 are 9 fee simple title purchases with a value of $93,200.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet: Purchase of fee simple title, no charge; 24 CFR 240.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog appendix IV.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.132 MORTGAGE INSURANCE—PURCHASE OF SALES-TYPE COOPERATIVE HOUSING UNITS

### (213 Sales)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 213; Housing Act of 1950; Public Law 81-475; 12 U.S.C. 1715(e).

**OBJECTIVES:** To make available, good quality, new housing for purchase by individual members of a housing cooperative.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on mortgages. Insured mortgages may be used to finance purchase by a cooperative member of single-family detached, semidetached, or row housing constructed under the sponsorship of a nonprofit cooperative with five or more units. The unit mortgage limit is $67,500, except that the Secretary may increase the preceding mortgage amount on an area by area basis, as the Secretary deems necessary, but in no case may such limits as so increased exceed the lesser of 133 percent of such amount or 95 percent of the median one-family house price in the area.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include members of a nonprofit cooperative, ownership housing corporations or trusts which sponsor such housing.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a preapplication conference with the local HUD Office to determine the preliminary feasibility of the project before a formal application is submitted. An environmental impact statement is usually not required except for very large projects (500 units to 2500 units) depending on size of community. (See 24 CFR 50.31).

**Application Procedure:** Application is submitted to the local HUD Insuring or Area Office through an FHA-approved mortgagee.

**Award Procedure:** The local HUD Field Office makes final decisions to approve, hold or reject individual projects.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is desired.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families, the maximum amount of the loan would be equal to 97 percent of the first $25,000 of value and closing costs (100 percent if veteran); and 95 percent of the value and closing costs in excess of $25,0[illegible] not to exceed $67,500, or such higher amount as permitted by the Secretary. (See Uses and Use Restrictions.) The down payment would be the difference between the maximum loan amount and the purchase price of the home, but in no case less than $200. The current interest rate is 16 1/2 percent plus 1/2 percent for mortgage insurance premium.

**Length and Time Phasing of Assistance:** The mortgage term is 30 years, except 35 years if the mortgagor is unacceptable under a 30-year term.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) Reported under program 14.126.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there was no activity. Cumulative totals through September 30, 1981 are 33,665 home mortgages insured with a value of $425,013,850.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD-17-F(3) "Let's Consider Cooperatives," no charge; 24 CFR 213-C; HUD Handbook No. 4550.6, "Sales Type Cooperatives."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field office listed in the Catalog address appendix.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 14.115, Mortgage Insurance—Development of Sales Type Cooperative Projects; 14.124, Mortgage Insurance—Investor Sponsored Cooperative Housing; 14.126, Mortgage Insurance—Management Type Cooperative Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.133 MORTGAGE INSURANCE—PURCHASE OF UNITS IN CONDOMINIUMS

## (234(c))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1961, Section 234(c); Public Law 87-70; 75 Stat. 149, 1968; Public Law 90-448; 82 Stat. 476, 507, 1969; Public Law 91-152; 83 Stat. 379, 384.

**OBJECTIVES:** To enable families to purchase units in condominium projects.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the acquisition of individual units in proposed or existing condominium projects containing four or more units. The maximum insurable loan for an occupant mortgagor is $67,500 but may go up to $74,900 in high cost areas. If the condominium project contains more than 11 units, the project mortgage must be or have been insured under an FHA multifamily housing program before a unit is acceptable under Section 234(c). A unit in an existing, conventionally financed condominium is eligible under Section 234(c), provided the project has been completed over one year. A mortgagor may not own more than four units, purchased with HUD-insured mortgages, and he must live in one of the units.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligbility.

**Credentials/Documentation:** Documentation regarding the function and characteristics of the project and the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An environmental review is required under this program for proposed construction.

**Application Procedure:** Application is submitted to a HUD Field Office through an FHA-approved mortgagee.

**Award Procedure:** The local Field Office makes final decisions to approve, hold, or reject individual cases.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 2 days for approval of the property and three days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families the maximum amount of the loan would be equal to 97 percent of the first $25,000 of value and closing costs; and 95 percent of the value and closing costs in excess of $25,000 not to exceed applicable Section 234(c) limits. The down payment would be equal to the difference between the maximum loan amount and the purchase price of the unit. If the family is eligible for assistance under Section 235, the maximum loan is $40,000 to $47,500 ($47,500 to $55,000 in high cost areas) and the downpayment is 3 percent of acquisition cost. The service charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage amount. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 30 years, except 35 years if the mortgagor is unacceptable under a 30-year term.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $92,335,925; FY 82 est $129,160,000; and FY 83 est $167,792,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,131 units were insured with a value of $92,335,925. Cumulative totals through September 30, 1981 are 36,704 units insured with a value of $869,030,945.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD-77-F(2), "Financing Condominium Housing," no charge; Mortgage Insurance Handbook No. 4265.1, Home Mortgage Insurance-Condominium Units, Section 234(c), no charge, 24 CFR 234A; HUD-227-F, HUD-FHA Non-assisted Program for Condominium Housing, no charge; HUD-321-F, HUD-FHA Comparison of Cooperative and Condominium Housing, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.112, Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects; 14.159, Section 245 Graduated Payment Mortgage Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.134 MORTGAGE INSURANCE—RENTAL HOUSING

### (207)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act as amended 1938, Section 207; Public Law 75-424; 12 U.S.C. 1713.

**OBJECTIVES:** To provide good quality rental housing.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance the construction or rehabilitation of rental detached, semidetached, row, walk-up, or elevator type structures with 5 or more units. The unit mortgage limits for non-elevator apartments are as follows: efficiency $19,500; one bedroom, $21,600; two bedrooms, $25,800; three bedrooms, $31,800; four or more bedrooms, $36,000. Limits per family unit are somewhat higher for elevator apartments. In areas where cost levels so require, limits per family unit may be increased up to 75 percent (or up to 90 percent on a case-by-case basis).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include investors, builders, developers, and others who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:** All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and qualifications of the mortgagor are submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor has an initial conference with the local HUD field office which does multifamily processing to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or feasibility application (for substantial rehabilitation projects) is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental review is made. An environmental impact statement is usually not required except for very large projects.

**Application Procedure:** The sponsor submits an application for a SAMA or feasibility letter. The application for conditional and firm commitment are submitted by the sponsor through an approved mortgagee. Applications are submitted to the local HUD field Office which does multifamily processing.

**Award Procedure:** If the project meets program requirements, the HUD Office issues a commitment to insure the mortgage to the lender.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 3 to 12 months.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan would be equal to 90 percent of the estimated value in most cases. The current maximum permissible permanent loan interest rate is 16 1/2 percent plus .5 percent for mortgage insurance premium. The HUD application processing fee is $3 per $1,000 of the mortgage amount. Only $1 per $1,000 is required at the initial application for SAMA. No fee is required with a feasibility application for a rehabilitation project. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit annual financial statements to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured including funding for 14.127) FY 81 $16,170,800; FY 82 est $14,915,000; and FY 83 est $6,331,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1 project with 302 units valued at $16,170,800 was insured. Cumulative totals through September 30, 1981 are 2,262 projects with 285,716 units insured with a value of $3,763,141,615.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 207 et seq.; Fact Sheet: Section 207 Rental Housing, no charge; HUD Handbook 4400.1, Project mortgage Insurance Basic Section 207 Instructions, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Multifamily Development Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.124, Mortgage Insurance—Investor Sponsored Cooperative Housing; 14.135, Mortgage Insurance—Rental Housing for Moderate Income Families; 14.137, Mortgage Insurance—Rental and Cooperative Housing for low and Moderate Income Families, Market Interest Rate; 14.138, Mortgage Insurance—Rental Housing for the Elderly; 14.139, Mortgage Insurance—Rental Housing in Urban Renewal Areas; 14.155, Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.135 MORTGAGE INSURANCE—RENTAL HOUSING FOR MODERATE INCOME FAMILIES

### (221(d)(4))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1959, Section 221; Public Law 86-372; 12 U.S.C. 1715(1).

**OBJECTIVES:** To provide good quality rental housing within the price range of low and moderate income families.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, row, walkup, or elevator-type rental housing containing 5 or more units. The unit mortgage limits for non-elevator apartments are as follows: efficiency, $19,406; one bedroom, $22,028; two bedrooms, $26,625; three bedrooms, $33,420; four or more bedrooms, $37,870. Unit mortgage limits are somewhat higher for elevator-type structures. In areas where cost levels so require, limits per family unit may be increased up to 75 percent (up to 90 percent on a case-by-case basis). Rental rates must permit occupancy by moderate income families. This program may be used in conjunction with the Section 8 New Construction and Substantial Rehabilitation Programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Profit motivated sponsors, limited distribution and nonprofit sponsors, and others who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:** All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have an initial conference with the local HUD field office which does multifamily processing to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or feasiility application (for substantial rehabilitation projects) is submitted. HUD Regional and Area Offices will transmit a copy of the commitment application to the appropriate State clearinghouses and metropolitan or regional clearinghouses. Applications are subject to State and areawide clearinghouses review pursuant to procedures of Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental assessment is required for this program.

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD field office which does multifamily processing.

**Award Procedure:** If the project meets program requirements, the local HUD Field Office issues a commitment to insure the mortgage to the lender.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 3 to 12 months.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended under certain circumstances when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan would be equal to 90 percent of the estimated replacement cost. The current maximum permissible permanent loan interest rate is 16 1/2 percent plus .5 percent for mortgage insurance premium. The HUD application processing fee is $3 per $1,000 of the mortgage amount. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage term is 40 years, or not appreciably in excess of 3/4 of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) reported under program No. 14.137.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** Reported under program No. 14.137.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 221 et seq.; Fact Sheet: Rental Housing for Moderate Income Families, no charge; HUD Handbook 4560.2, Mortgage Insurance for Moderate-Income Housing Projects, Section 221 (d)(4), no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Multifamily Development Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.134, Mortgage Insurance—Rental Housing; 14.137, Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.137 MORTGAGE INSURANCE—RENTAL AND COOPERATIVE HOUSING FOR LOW AND MODERATE INCOME FAMILIES, MARKET INTEREST RATE

### (221(d)(3) Market Rate)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1954, Section 221; Public Law 83-560; 12 U.S.C. 1715(1).

**OBJECTIVES:** To provide good quality rental or cooperative housing within the price range of low- and moderate-income families.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance construction or rehabilitation of rental or cooperative detached, semidetached, row, walk-up, or elevator structures. Such housing must have five or more units. The unit mortgage limits for non-elevator apartments are as follows: efficiency, $19,406; one bedroom, $22,195; two bedrooms, $26,985; three bedrooms, $34,541; four or more bedrooms, $38,480. Unit mortgage limits are somewhat higher for elevator-type structures and nonprofit mortgagors. In areas where cost levels so require, limits per family unit may be increased up to 75 percent (up to 90 percent on a case-by-case basis). Most rent supplement projects were built under this program, although this program is now used independently of rent supplement. Rental rates must permit occupancy by moderate income families. This program may be used in conjunction with the Section 8 New Construction and Substantial Rehabilitation Programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible sponsors include public, nonprofit, cooperative, builder-seller, investor-sponsor, limited distribution mortgagors and general mortgagors.

**Beneficiary Eligibility:** All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection requirements for private rental housing. Eligible low-income families may qualify for rent supplement benefits or Section 8 housing assistance payments when the mortgagor has qualified for this assistance. A preference must be given to displacees.

**Credentials/Documentation:** A nonprofit sponsor must receive from FHA, certification of eligibility prior to submission of a formal project application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have an initial conference with the local HUD Area or Insuring Office to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or feasibility application (for substantial rehabilitation projects) is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program.

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD field office which does multifamily processing.

**Award Procedure:** The local HUD Field Office reviews the application in order to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the HUD Field Office issues the lender a commitment to insure the project.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 3 to 12 months.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For general and limited distribution mortgagors, the maximum amount of the loan would be equal to 90 percent of the estimated replacement cost. For nonprofit, public and cooperative mortgagors the maximum amount of the loan would be equal to 100 percent of the estimated replacement cost in most cases. The current maximum permissible interest rate is 16 1/2 percent plus 1/2 percent for mortage insurance premium. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage term is 40 years, or not appreciably in excess of three-fourths of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured-including funding for 14.135) FY 81 $2,838,256,953; FY 82 est $1,755,697,000; FY 83 est $745,193,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 86,728 units valued at $2,838,256,953 were insured. Cumulative totals through September 30, 1981 are 941,780 units valued at $19,017,474,920.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet: Rental Housing (Market Interest Rate) for Low and Moderate Income Families (Mortgage Insurance), no charge; Section 221(d)(3) Market Interest Rate for Project Mortgage Insurance, HUD Handbook 4560.1, no charge; 24 CFR 221 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate local HUD office listed in the Catalog address appendix.

**Headquarters Office:** For production information: Director, Multifamily Development Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-9280; for management information: Director, Office of Multifamily Housing Management and Occupancy, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-5866.

**RELATED PROGRAMS:** 14.124, Mortgage Insurance—Investor Sponsored Cooperative Housing; 14.126, Mortgage Insurance—Management Type Cooperative Projects; 14.134, Mortgage Insurance—Rental Housing; 14.135, Mortgage Insurance—Rental Housing for Moderate Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.138 MORTGAGE INSURANCE—RENTAL HOUSING FOR THE ELDERLY

## (231)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1959, Section 231; Public Law 86-372; 73 U.S.C. 654; 12 U.S.C. 1715(V).

**OBJECTIVES:** To provide good quality rental housing for the elderly.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, walk-up, or elevator type rental housing designed for occupancy by elderly or handicapped individuals and consisting of 8 or more units. The unit mortgage limits for non-elevator apartments are as follows: efficiency, $18,450; one bedroom, $20,625; two bedrooms, $24,630; three bedrooms, $29,640; four or more bedrooms, $34,846. Limits per family unit are somewhat higher for elevator apartments. In areas where cost levels so require, limits per family unit may be increased up to 75 percent (up to 90 percent on a case-by-case basis).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include investors, builder developers, public bodies, and nonprofit sponsors. This program may be used in conjunction with the Section 8 New Construction and Substantial Rehabilitation Programs.

**Beneficiary Eligibility:** All elderly or handicapped persons are eligible to occupy apartments in a project whose mortgage is insured under the program.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have an initial conference with the local HUD field office which does multifamily processing to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or feasibility application (for substantial rehabilitation projects) is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program.

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Area or Insuring Office.

**Award Procedure:** If the project meets program requirements, the local HUD Field Office issues a commitment to the lender to insure the mortgage.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office, and are mutually agreed to at the precommitment conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from 3 to 12 months.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For nonprofit and public mortgagors, the maximum amount of the loan would be equal to 100 percent of the estimated replacement cost (for new construction) or project value (for substantial rehabilitation). For all other mortgagors, the maximum amount of the loan would be equal to 90 percent of the replacement cost (for new construction) or project value (for substantial rehabilitation). The current maximum permissible permanent loan interest rate is 16 1/2 percent plus 1/2 percent for mortgage insurance premium. The HUD application processing fee is $3 per $1,000 of the mortgage amount. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage term is 40 years or not appreciably in excess of 3/4 of the remaining economic life, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statements to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practice of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $39,068,300; FY 82 est $24,293,000; and FY 83 est $10,311,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 8 projects with 1,159 units valued at $39,068,300 were insured. Cumulative totals through September 30, were projects with units insured with a value of $1,147,678,564.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 231.1 et seq. Section 231 Housing for the Elderly for Project Mortgage Inusurance, HUD Handbook 4570.1, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Multifamily Development Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.134, Mortgage Insurance—Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.139 MORTGAGE INSURANCE—RENTAL HOUSING IN URBAN RENEWAL AREAS

### (220 Multifamily)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act as amended 1954, Section 220; Public Law 560; 12 U.S.C. 1745(k).

**OBJECTIVES:** To provide good quality rental housing in urban renewal areas, code enforcement areas, and other areas designated for overall revitalization.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgages. Insured mortgages may be used to finance proposed construction or rehabilitation of detached, semi-detached, row, walk-up, or elevator type rental housing or finance purchase of properties which have been rehabilitated by a local public agency. Property must consist of two or more units and must be located in an urban renewal area, urban redevelopment project, or code enforcement program area, urban area receiving rehabilitation assistance as a result of natural disaster, or area where concentrated housing, physical development and public service activities are being carried out in a coordinated manner. Unit mortgage limits for non-elevator apartments are as follows: efficiency, $19,500; one bedroom, $21,600; two bedrooms, $25,800; three bedrooms, $31,800; four or more bedrooms, $36,000. Limits per family unit are somewhat higher for elevator apartments and projects involving the rehabilitation of fewer than 6 units. In areas where cost levels so require limits per family unit may be increased up to 75 percent (up to 90 percent on a case-by-case basis).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible mortgagors include investors, builders, developers, public bodies, and others who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:** All families are eligible to occupy a dwelling in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor has an initial conference with the local HUD Field Office which does multifamily processing to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or feasibility application (for substantial rehabilitation projects) is submitted. Application are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental assessment is required for this program. An environmental impact statement is usually not required for this program except for very large project (500 or more units).

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Insuring or Area Office.

**Award Procedure:** If the project meets program requirements, the local HUD Field Office issues a commitment to insure the mortgage to the lender.

**Deadlines:** Deadlines are established on a case by case basis by the local HUD Field Office.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, ranges from 3 to 12 months.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most mortgagors, the maximum amount of the loan may not exceed 90 percent of the estimated replacement cost. The current maximum permanent loan interest rate permissible is 16 1/2 percent plus one-half percent for mortgage insurance premium. The HUD application processing fee is $3 per $1,000 of the mortgage amount. The HUD inspection fee may not exceed $5 per $1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage term is 40 years, or not appreciably in excess of three-fourths of the remaining economic life whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit annual financial statements to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $144,284,800; FY 82 est $89,717,000; and FY 83 est $38,081,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,518 units valued at $144,284,800 were insured. Cumulative totals through September 30, 1981 are 83,445 units insured with a value of $1,965,226,702.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 220.1 et seq.; Fact Sheet: Urban Renewal Housing (Mortgage Insurance), no charge; HUD Consumer Bulletin, no charge; Rental Housing in Urban Renewal Areas for Project Mortgage Insurance, HUD Handbook 4555.1, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Office listed in the Catalog address appendix.

**Headquarters Office:** For production information: Director, Multifamily Development Division, Office of Multi-family Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-9280; For management information: Director, Office of Multifamily Housing Management and Occupancy, Housing, Department of Housing and Urban Development, Washington 20410. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.134, Mortgage Insurance—Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.140 MORTGAGE INSURANCE—SPECIAL CREDIT RISKS

**(237)**

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968 and 1969, Section 237 (excepting paragraph (e); Public Law 90-448; 12 U.S.C. 1715(b).

**OBJECTIVES:** To make homeownership possible for low- and moderate-income families who cannot meet normal HUD requirements.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of new, existing, or substantially rehabilitated single-family homes. The maximum insurable mortgage is $18,000 ($21,000 in areas where cost levels so require).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only families who do not qualify for homeownership under regular HUD credit standards are eligible. The monthly mortgage payment (consisting of principal, interest, MIP hazard insurance and taxes) may not exceed 25 percent of the borrower's annual income.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Counseling assistance must be obtained by the applicant mortgagor from a HUD approved counseling agency before the application may be submitted by the mortgagee. Information regarding availability of counseling assistance is available through HUD Field Offices.

**Application Procedure:** Contact appropriate HUD Field Office listed in the Catalog address appendix.

**Award Procedure:** HUD notifies the lender of the applicant's eligibility for mortgage insurance under Section 237. The lender arranges for execution of closing documents. The certificate of mortgage insurance is then issued.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The downpayment required is determined by the requirements for the HUD program under which the application originates. Application may be originated under most HUD home mortgage programs.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 30 years, except 35 to 40 years where the purchaser is unacceptable under a 30 year term.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $313,700; FY 82 est $2,945,000; and FY 83 est $3,580,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 18 units with a value of $313,700 were covered by insured mortgages. Cumulative totals through September 30, 1981 are 5,216 units insured with a value of $78,586,658.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Credit Assistance and Counseling for Low and Moderate Income Home Purchasers (Section 237)," HUD Handbook FHA 4440.5; no charge; 24 CFR 237.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** For Production Information: Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720. For Management Information: Housing Consumer Programs Division, Office of Neighborhood and Consumer Affairs, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6920.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.141 NONPROFIT SPONSOR ASSISTANCE PROGRAM

### (Section 106(b); Nonprofit Sponsor Loan Fund)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing and Urban Development Act of 1968, Section 106(b); Public Law 90-448.

**OBJECTIVES:** To assist and stimulate prospective nonprofit sponsors of Section 202 housing to develop sound housing projects for the elderly or handicapped.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** HUD may make interest free loans to nonprofit sponsors to cover 80 percent of pre-construction expenses for planning housing projects to be developed under programs designated by the Secretary. The only program which is eligible is the Section 202 loans for the elderly or handicapped. Eligible expenses include but are not limited to organization expenses, legal fees, consultant fees, architect fees, preliminary site engineering fees, and fees attributable to attaining site control. If the loan cannot be repaid from mortgage proceeds, the unpaid portion may, under certain conditions, be cancelled.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Nonprofit organizations as defined by HUD which will qualify as proposed mortgagor corporations.

**Beneficiary Eligibility:** Sponsors/borrowers eligible for low and moderate income housing projects for the elderly or handicapped.

**Credentials/Documentation:** Standards used to determine applicant eligibility for 106(b) assistance differ from standards used to evaluate applications for Section 202 direct loans. HUD approval of a 106(b) application in no way implies that the sponsor's application for a direct loan will be finally approved.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a pre-application conference with the local HUD Area or Multifamily Service Office. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The sponsor submits a formal application Form HUD-92290, directly to the appropriate local HUD Area or Multifamily Service Office listed in the Catalog address appendix.

**Award Procedure:** The local office will receive and process applications for approval subject to the availability of planning funds.

**Deadlines:** The Section 106(b) application may be submitted along with the Sponsor's Section 202 application or at any time after approval of the Section 202 application, but prior to initial closing of the Section 202 loan.

**Range of Approval/Disapproval Time:** Approval or disapproval of an application should be made within 30 to 60 days.

**Appeals:** If a loan is refused, HUD/FHA will state the reasons. Sponsors desiring further consideration may resubmit their application.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** These loans, which are interest-free, may not exceed 80 percent of the eligible development costs incurred in planning and obtaining financing for an eligible housing proposal, or $50,000, whichever is less. The borrower must spend all of its 20 percent share before any Federal funds are disbursed, and in the event of losses, must lose all of its share before any consideration will be given to canceling any portion of the Federal share.

**Length and Time Phasing of Assistance:** The loan term is normally 18 months, but may be extended for good reason at the discretion of HUD or reduced if the application for project financing is withdrawn or terminated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** May be required by the local HUD Area or Multifamily Service Office.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the borrower's account in order to determine compliance and conformance with HUD regulations and standards. An accounting of all expenditures is required when the borrower requests cancellation of all or part of the loan.

**Records:** Borrowers are required to maintain accurate and complete records of planning expenses incurred.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4042-0-3-604.

**Obligations:** (Loans) FY 81 $1,218,000; FY 82 est $2,590,000; and FY 83 est $1,790,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 60 loans totaling $1,218,000 were made. Cumulative totals through September 30, 1981 were 509 loans totaling $12,742,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR Part 271; HUD Handbook 4535.3 REV.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Multifamily Service Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Elderly, Cooperative, Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6142.

**RELATED PROGRAMS:** 14.157, Housing for the Elderly or Handicapped.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.142 PROPERTY IMPROVEMENT LOAN INSURANCE FOR IMPROVING ALL EXISTING STRUCTURES AND BUILDING OF NEW NONRESIDENTIAL STRUCTURES

### (Title I, Section 2, Classes 1(a), 1(b), 2(a), and 2(b)).

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act as amended, Title I, Section 2; Public Laws 73-479, 84-1020, and 90-448; 12 U.S.C. 1703.

**OBJECTIVES:** To facilitate the financing of improvements to homes and other existing structures and the erection of new nonresidential structures.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on loans. Insured loans may be used to finance alterations, repairs, and improvements for existing structures and the erection of new nonresidential structures which substantially protect or improve the basic livability or utility of the properties. The maximum amount of the loan is $15,000, for improving a one-family dwelling or building a nonresidential structure. For improving a multifamily structure, the maximum loan amount is $7,500 per unit, not to exceed $37,500 altogether.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible borrowers include the owner of the property to be improved or a lessee having a lease extending at least 6 months beyond maturity of the loan.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The responsibility for credit approval of borrowers is exercised by insured lenders.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The borrower applies directly to an insured lender, or through a lender's approved dealer.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** HUD does not ordinarily participate in the approval or disapproval of individual loans.

**Appeals:** Reapplication in case of refusal should be submitted to an approved lender.

**Renewals:** Renewals are at the discretion of the approved lender.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** HUD insures private lenders against losses of up to 90 percent of any single loan with maximum insurance coverage limited to a total of 10 percent of the total amount insured. The financing charge is 19 percent (annual percentage rate). The insurance charge is 50 cents per $100 per year of the amount advanced (included in financing charge). This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Loans mature in 15 years and 32 days or earlier. Loans may be refinanced, but may not extend beyond 25 years from the date of the original note.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual delinquency report is required of each lender.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of lenders in order to determine their compliance and conformance with FHA regulations and standards.

**Records:** Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Loans insured included funding for programs 14.110 and 14.162) FY 81 $1,368,548,670; FY 82 est $2,358,000,000; and FY 83 est $2,779,000,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 284,566 loans were insured, with a value of $1,368,548,670. Cumulative totals through September 30, 1981 were 33,170,405 loans insured, with a value of $31,186,897,863.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Fixing Up Your Home," HUD-52-H (7) no charge; "One of HUD's Roles in Home Improvement," HUD-29-H (11), no charge; Fact Sheet: Property Improvements (Loan Insurance), no charge; 24 CFR 201.1(j).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Field office listed in the Catalog address appendix.

**Headquarters Office:** Director, Office of Title I Insured Loans, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6880.

**RELATED PROGRAMS:** 10.417, Very Low-Income Housing Repair Loans and Grants; 14.108, Rehabilitation Mortgage Insurance; 14.110, Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.146 LOW INCOME HOUSING—ASSISTANCE PROGRAM

### (Public Housing)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1937, as amended; Public Law 93-383; 42 U.S.C. 1439.

**OBJECTIVES:** To remedy the unsafe and unsanitary housing conditions and the acute shortage of decent, safe and sanitary dwellings for families of lower income through an authorized Public Housing Agency (PHA) or Indian Housing Authority (IHA).

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Direct Loans.

**USES AND USE RESTRICTIONS:** To assist public housing agencies in providing lower-income housing by (1) acquiring existing housing from the private market (acquisition); (2) procuring construction by competitive bidding where the public housing agency acts as the developer (conventional); or (3) letting contracts to private developers (turnkey). Annual contributions are made to public housing agencies to provide debt service payments, to assure the lower-income character of the projects, and to achieve and maintain adequate operating and maintenance service and reserve funds.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public Housing Agencies (including Indian Housing Authorities) established in accordance with State law, authorized public agencies, or Indian tribal organizations are eligible. The proposed program must be approved by the local governing body.

**Beneficiary Eligibility:** Families and single persons of lower-income, including single persons who are elderly, disabled, handicapped, displaced, or the remaining member of a tenant family and certain single persons who do not qualify as elderly are also eligible.

**Credentials/Documentation:** The applicant must support the application/proposal by furnishing data that the program is consistent with any applicable local Housing Assistance Plan. In the absence of such a Plan, demonstrate that the proposed program is responsive to the condition of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, handicapped and disabled, large families and those displaced or who will be displaced) residing in or expected to reside in the community. First-time applicants must furnish documentation indicating they are legal entities.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Execution of Cooperation Agreement between local government and local public housing agency. Sites are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised) and review by the chief executive officer of the unit of local government in accordance with Section 213 of the Housing and Community Development Act of 1974. HUD Field offices will transmit a copy of the site report/proposal to the appropriate State clearinghouses and metropolitan or regional clearinghouses and local governments. An environmental impact statement/assessment pursuant to NEPA is required for this program.

**Application Procedure:** For PHAs located outside of a central city allocation area, submission of Application for Public Housing Program (Form HUD 52470) or, for PHAs located inside central city allocation areas, submission of a PHA proposal; for IHAs, submission of application for Indian Housing Program (Form HUD-52730). 24 CFR 841 and Handbook 7417.1 (Rev.-1) (Public Housing-Development Handbook) and 24 CFR 805 and Interim Handbook 7440.1 (Indian Housing).

**Award Procedure:** The HUD Field Office Director (or Regional Administrator in some instances) makes final decision to authorize approval of individual applications/proposals. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications may be submitted at any time. PHA proposals may be submitted in response to a request from the local HUD Field Office.

**Range of Approval/Disapproval Time:** Approximately 30 days for processing application/proposals.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Annual contributions to Public Housing Agencies to meet debt service requirements. Additional operating subsidy contributions are available to maintain adequate operating and maintenance services and reserve funds. There are no matching requirements. An indirect local contribution results from the difference between full local property taxes and payments in lieu of taxes made by local housing agencies. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors used for fund allocation are (1) county population from the source P-25, Census; (2) county poverty levels-number of households with incomes less than 50 percent of the county median from the source 1980 Census; (3) county overcrowed housing-number units housing 1.01 or more persons per room from the source 1980 Census; (4) county housing vacancies-number of housing units needed to raise the vacancy rate to 6 percent from the source 1980 Census; (5) county substandard housing-number of housing units lacking some or all plumbing from the source 1980 Census; (6) county cost adjustment factor calculated from 3 sources 1970 Census; Monthly Labor Review, BLS; and Annual Housing Survey. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Contributions made annually for up to 40 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Operating Budget; periodic occupancy and financial reports.

**Audits:** Periodic fiscal, occupancy, general management, maintenance and energy audits.

**Records:** Those necessary to indicate compliance with Annual Contributions Contract.

**FINANCIAL INFORMATION:**

**Account Identification:** (Housing Payments) 86-0139-0-1-604; (Direct loan funds) 86-4098-0-3-604; (Payments for Operation of Low Income Housing Projects) 86-0163-0-1-604.

**Obligations:** (Use of appropriation to liquidate contract authority) (Includes obligations for 14.147 and 14.148) FY 81 $2,485,169,000; FY 82 est $2,838,057,000; and FY 83 est $2,795,000,000.

**Range and Average of Financial Assistance:** In fiscal year 1981, the average obligation per unit or annual contribution payment for units added to inventory eligible for payment was approximately $2,800.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, annual contributions contract authority was reserved for 33,242 units under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 805 and Interim Handbook 7440.1 (Indian Housing); 24 CFR 841, Handbook 7417.1 (Rev.-1) (Public Housing-Development Handbook), and Handbook 7465.1 Rev. (Public Housing Occupancy).

**INFORMATION CONTACTS:**

**Regional or Local Office:** HUD Field Office listed in the appendix that has jurisdiction over the area in which the dwellings are to be located. (For Indian Housing, note especially the Offices of Indian Programs in Chicago, Denver, San Francisco, and Seattle, and Division of Indian Programs in the Oklahoma City Area Office.

**Headquarters Office:** Deputy Assistant Secretary for Public and Indian Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-0950.

**RELATED PROGRAMS:** 14.147, Low Income Housing—Home Ownership Opportunities for Low Income Families; 14.156, Lower Income Housing Assistance Program; 14.211, Surplus Land for Low and Moderate Income Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.147 LOW INCOME HOUSING—HOMEOWNERSHIP OPPORTUNITIES FOR LOW INCOME FAMILIES

### (Turnkey III; Mutual Help for Indian Areas)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** United States Housing Act of 1937, as amended, Public Law 75-412; 42 U.S.C. 1401-1435.

**OBJECTIVES:** To provide, through local Public Housing Agencies (PHA's), including Indian Housing Authorities (IHA's), low income families with the opportunity of owning their own homes.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Direct Loans.

**USES AND USE RESTRICTIONS:** To assist Public Housing Agencies (including Indian Housing Authorities) in providing housing purchase opportunities for low income families. Families are required to maintain their own homes, and in Turnkey III the PHA compensates them by crediting certain amounts budgeted for maintenance to family equity accounts. When the family's income and equity accounts increase to the point where it can obtain permanent financing for the unit, or when the equity account equals the unamortized debt and closing costs, ownership passes to the family. Originally the units are owned by the local Public Housing Agency. During the period of tenancy, the family makes payments based on its current income, except that in Mutual Help housing the payment shall not be less than the Administrative charge. The Turnkey III homes are are amortized over a period of up to 30 years. The Mutual-Help program for Indian areas requires families to contribute labor, materials, cash or the homesite (or a combination thereof in the construction of the housing and the homes are amortized over a period of about 25 years.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public Housing Agencies (including Indian Housing Authorities). The proposed program must be approved by the local governing body. Note: Development of additional Turnkey III units is not presently authorized.

**Beneficiary Eligibility:** Low income families with a potential for homeownership.

**Credentials/Documentation:** The applicant PHA must support the application by furnishing data that the program is consistent with any applicable local Housing Assistance Plan. In the absence of such a Plan, demonstrate that the proposed program is responsive to the condition of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, handicapped and disabled, large families and those displaced or who will be displaced) residing in or expected to reside in the community.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Execution of a Cooperative Agreement or Tribal Ordinance between the local government and the local public housing agency. An environmental clearance pursuant to NEPA is required for this program.

**Application Procedure:** IHA's interested in developing Mutual Help Housing should contact the appropriate HUD Field Office; prospective Mutual Help buyers should apply to the Indian Housing Authority. Since January 1973, the Department has not accepted new applications for the TK III Programs. Applications for units by an IHA for Mutural Help Housing for Indians are submitted in acccordance with the application procedure described under 14.146.

**Award Procedure:** The HUD Field Office Director (or Regional Administrator in some instances) makes final decision to authorize approval of applications. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately 90 days for preliminary clearance of applications.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Annual contributions to public housing agencies to cover debt service and operating subsidies. There are no matching requirements. Statistical factors used for fund allocation do not apply for this program. The statistical factor used for eligibility is 80 percent of the median family income by HUD area office region the source calculated by HUD from P-25, Census; 1970 Census; County Business Patterns; P-60, Census; and the Annual Housing Survey.

**Length and Time Phasing of Assistance:** Length of annual contributions commitment is approximately 25-30 years (see USES AND USE RESTRICTIONS).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Operating Budget; periodic statistical occupancy reports.

**Audits:** Periodic fiscal, occupancy and maintenance and general management audits.

**Records:** Those necessary to indicate compliance with Annual Contributions Contract.

**FINANCIAL INFORMATION:**

**Account Identification:** (Direct loan fund) 86-4098-0-3-604; (Housing payments) 86-0139-0-1-604; (Payments for Operation of Low Income Housing Projects) 86-0163-0-1-604.

**Obligations:** (Use of appropriation to liquidate contract authority) (Housing payments) reported under program 14.146.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, annual contributions contract authority was reserved for 3,128 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 805 and Interim Handbook 7440.1 (Indian Housing); 24 CFR 804 "Low-Rent Housing Homeownership Opportunities Handbook," 7495.3. "Low-Rent Housing Homeownership."

**INFORMATION CONTACTS:**

**Regional or Local Office:** HUD Field Office listed in the appendix that has jurisdiction over the area in which the program is to be located. (For Indian Housing, note especially the Offices of Indian Programs in Chicago, Denver, San Francisco and Seattle, and the Division of Indian Programs in the Oklahoma City Area Office.

**Headquarters Office:** Deputy Assistant Secretary for Public and Indian Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-0950.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.117, Mortgage Insurance—Homes; 14.146, Low Income Housing—Assistance Program; 14.156, Lower Income Housing Assistance Program; 14.211, Surplus Land for Low and Moderate Income Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.149 RENT SUPPLEMENTS—RENTAL HOUSING FOR LOWER INCOME FAMILIES

### (Rent Supplement Program)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing and Urban Development Act of 1965; Public Law 89-117; 12 U.S.C. 1701(s).

**OBJECTIVES:** To make good quality rental housing available to low income families at a cost they can afford.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** HUD makes payments to owners of approved multifamily rental housing projects to supplement the partial rental payments of eligible tenants. Rental projects must be part of an approved workable program for community improvement or be approved by local government officials. Assistance covers the difference between the tenant's payment and the basic market rental, but may not exceed 70 percent of the market rental. The tenant's payment is the greater of 25 percent of monthly income or 30 percent of market rental. No new projects are being accepted.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible sponsors include nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution mortgagors.

**Beneficiary Eligibility:** Families must be within the income limits prescribed for admission to Section 8 housing in order to qualify for benefits under this program. Families may continue in occupancy after incomes exceed eligibility for rent supplements by paying market rents.

**Credentials/Documentation:** Applications for new projects are no longer being accepted.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a preapplication Conference with the local HUD Area or Insuring Office to determine the need for rent supplement assistance to the project before a formal application is submitted. An environmental impact statement is required for this program. Applications for new projects and unit increases for existing projects are no longer being accepted. Only dollar increases for existing unit allocations are being processed.

**Application Procedure:** For dollar increases for existing unit allocations: Mortagagor submits FHA Form No. 2500 "Reservation of Rent Supplement Contract Authority." Only funds available are for projects already built. No new applications are being accepted.

**Award Procedure:** The local office reviews the application to determine the need for funding.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Processing time, generally, will range from 6 to 9 weeks.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** HUD makes monthly payments to project owners to make up the difference between the partial rentals paid by assisted tenants and the market rental. Assisted tenants must pay at least 25 percent of their adjusted monthly income (after certain deductions) for rent. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors used for fund allocation do not apply for this program. The statistical factor used for eligibility is 80 percent of the median family income by HUD area office region the source calculated by HUD from P-25, Census; 1970 Census; County Business Patterns; P-60, Census; and the Annual Housing Survey.

**Length and Time Phasing of Assistance:** The rent supplement contract shall be limited to the term of the mortgage or 40 years from the date of the first payment made under the contract, whichever is less. Individual family's assistance ceases when adjusted income exceeds the maximum allowable for receiving the benefits of the subsidy.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to maintain records in accordance with acceptable mortgage practices of lending institutions and the HUD regulations. All tenants except the elderly who benefit from supplements must have their incomes recertified annually.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0129-0-1-604; 86-0139-0-1-604.

**Obligations:** (Use of appropriation to liquidate contract authority (Housing payments)) FY 81 $275,982,000; FY 82 est $276,000,000; and FY 83 est $208,000,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** Except as necessary to meet bona fide commitments which cannot be met under the Lower Income Housing Assistance Program (Section 8) commitments for additional projects will not be made under this program. At the end of fiscal year 1981, 157,779 units were eligible for rent supplement payments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet: Rent Supplements, no charge; 24 CFR 215; HUD Handbook 4520.1.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Area or Insuring Office listed in the Catalog address appendix.

**Headquarters Office:** For Management Information: Director, Office of Multifamily Housing Management and Occupancy, Housing, Department of Housing and Urban Development, Washington, DC 20401. Telephone: (202) 755-5756.

**RELATED PROGRAMS:** 14.103, Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families; 14.134, Mortgage Insurance—Rental Housing; 14.137, Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate; 14.138, Mortgage Insurance—Rental Housing for the Elderly; 14.139, Mortgage Insurance—Rental Housing in Urban Renewal Areas; 14.141, Nonprofit Sponsor Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.151 SUPPLEMENTAL LOAN INSURANCE—MULTIFAMILY RENTAL HOUSING

## (241)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Section 241; Public Law 90-448; 12 U.S.C. 1715; Public Law 94-375; 12 U.S.C. 17152-6.

**OBJECTIVES:** To finance additions and improvements to any multifamily project, group practice facility, hospital, or nursing home insured by HUD or held by HUD, and to finance energy conservation improvement in non-insured projects. Major movable equipment for nursing homes, or group practice facilities or hospital may be covered by a mortgage under this program.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on loans made either (1) to finance additions and improvements of multifamily housing projects and group practice facilities subject to HUD/FHA insured mortgages or mortgages held by HUD, or (2) to finance energy conservation improvements to conventionally financed projects. The proceeds of a loan involving an insured nursing home or a group practice facility may also be used to purchase equipment to be used in the operation of such nursing home or facility. The maximum insurable loan for an insured project may be equal to an amount which, when added to the outstanding balance of the existing insured mortgage, does not exceed the amount insurable under the program pursuant to which the mortgage covering such project or facility is insured. Where the project is covered by a mortgage held by the Secretary the principal amount of the loan shall be in an amount acceptable to the Secretary. For non-insured, non-HUD-held projects, the amount of the loan shall not exceed the cost of purchasing and installing the energy-conservation improvements.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owners of a multifamily project or facility subject to a mortgage insured by HUD or held by HUD and owners of non-insured multifamily projects who propose energy conservation improvements.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a preapplication conference with the local HUD Field Office which does multifamily processing to determine the preliminary feasibility of making the proposed improvements before a formal application is submitted. An environmental impact statement is required for this program.

**Application Procedure:** The sponsor submits a formal application for review and approval or disapproval through a HUD-approved mortgagee to the local HUD Office.

**Award Procedure:** See Application Procedure.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD Field Office.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, will range from three to 9 months from the first conference with local HUD Field officials to the issuance of a firm commitment.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount of the loan for a project with a HUD-insured or HUD-held mortgage may not exceed 90 percent of the estimated value of the improvements, additions, or equipment.

**Length and Time Phasing of Assistance:** A loan for a project with a HUD-insured or HUD-held mortgage may not exceed the remaining term of the mortgage. A loan for a project without a HUD-insured or HUD-held mortgage may not exceed 20 years or the remaining economic life of the project, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the borrower during the period of loan insurance must be approved by HUD. Defaults in meeting the loan terms must be reported. All borrowers are required to submit an annual financial statement to HUD. All approved lenders at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the lender or borrower in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Loans) FY 81 $14,462,664; FY 82 est $8,993,000; and FY 83 est $7,090,000.

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 7 projects with 1,595 beds were insured for a value of $14,462,664. Cumulatively through September 30, 1981, 98 projects with 15,351 beds were insured for a value of $67,176,073.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR, 241 et seq; HUD Handbook 4585.1 "Supplemental Loans for Project Mortgage Insurance," Section 241, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Multifamily Development Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20411. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.116, Mortgage Insurance—Group Practice Facilities; 14.129, Mortgage Insurance—Nursing Homes and Intermediate Care Facilities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.152 MORTGAGE INSURANCE—EXPERIMENTAL HOMES

### (233 (Homes)—Experimental Housing)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1961 and thereafter, Section 233; Public Law 87-70; 12 U.S.C. 1715(x).

**OBJECTIVES:** To help finance the development of homes that incorporate new or untried construction concepts designed to reduce housing costs, raise living standards, and improve neighborhood design by providing mortgage insurance.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD/FHA insures lenders against loss on mortgage loans. These loans may be used to finance the rehabilitation or construction of homes meeting the requirements of other FHA-mortgage insurance programs except that the use of advanced technology or experimental neighborhood design is required. The program is intended to speed the development of new concepts by reducing the risks involved in underwriting mortgages on housing incorporating experimental materials, designs, and techniques. Title II provisions apply where nonexperimental features are utilized.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Interested applicants able to prove that the property which is proposed is an acceptable risk for testing advanced housing design or experimental property standards are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application is submitted to HUD area or insuring office for review and approval through an FHA-approved mortgagee. A copy of the application will be forwarded by the insuring office to the HUD central office in Washington. The application should include the purpose of the experiment, a complete description, plans for use of results, possible damages and personnel involved.

**Award Procedure:** Decision of what experimental features are to be used in Section 233 are determined by the HUD headquarters office.

**Deadlines:** Deadlines are established on a case-by-case basis by the local HUD insuring office.

**Range of Approval/Disapproval Time:** Normal processing time is 5 days for approval of the property and 3 days for approval of the mortgagor after approval of the experimental program. Experimental approval normally takes 30 to 90 days.

**Appeals:** HUD/FHA will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The type of construction, mortgage limit, downpayment, term, interest rate, and fees are governed by eligibility requirements of the applicable home mortgage or improvement loan insurance program.

**Length and Time Phasing of Assistance:** See Formula and Matching Requirements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured) FY 81 $200,000; FY 82 est $1,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** No financial assistance, average mortgage about $30,000 to $35,000.

**PROGRAM ACCOMPLISHMENTS:** Cumulative totals for the program are approximately 600 units insured with a value of approximately $10,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 233.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD area or insuring office listed in the Catalog address appendix.

**Headquarters Office:** Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 755-5544.

**RELATED PROGRAMS:** 14.153, Mortgage Insurance—Experimental Projects Other Than Housing; 14.154, Mortgage Insurance—Experimental Rental Housing; 45.001, Promotion of the Arts—Design Arts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.153 MORTGAGE INSURANCE—EXPERIMENTAL PROJECTS OTHER THAN HOUSING

**FEDERAL AGENCY:** HOUSING, FEDERAL HOUSING COMMISSIONER, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act as amended in 1968, Section 233; Public Law 90-448; 12 U.S.C. 1715(x).

**OBJECTIVES:** To provide mortgage insurance to help finance the development of group medical facilities or subdivisions or new communities that incorporate new or untried construction concepts intended to reduce construction costs, raise living standards or improve neighborhood design.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD/FHA insures lenders against loss on mortgage loans. These loans may be used to finance the construction or rehabilitation, using new technologies, or facilities, including major movable equipment for group practice of dentistry, medicine, or optometry; they may also be used to finance the purchase of land and the development of building sites for subdivisions or new communities, including water and sewer systems and streets, where new technologies are incorporated.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Interested sponsors eligible under HUD/FHA's land development or group practice medical facilities program are eligible. Title X and Title XI provisions apply to nonexperimental features.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Sponsors must prove that the property is an acceptable risk for testing advanced design or experimental property standards.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a preapplication conference with the local HUD Area or Insuring Office to determine the preliminary feasibility of the project before a formal application is submitted. Note intended experimental features at this time.

**Application Procedure:** The sponsor submits a formal application through an FHA approved mortgagee to the HUD Insuring Office for review and approval. A copy of the application is forwarded by the insuring office to the HUD Central Office in Washington, DC for approval. The application should include the purpose of the experiment, a complete description, plans for use of results, possible damages and names/addresses of personnel involved in the experiment.

**Award Procedure:** The HUD headquarters office determines the suitability of proposed experimental features for use in the (Section 233) program.

**Deadlines:** Deadlines are established on a case-by-case basis by the local insuring office, and are mutually agreed to at the preapplication conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor and complexity and scope of proposed project, may range from 6 to 9 months from the first conference with HUD to the issuance of a firm commitment after approval for the experimental program.

**Appeals:** If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. The applicant may reapply subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount insurable, the downpayment, mortgage term, interest rate, and fees are governed by the FHA eligibility requirements of Title X, Land Development and New Communities, or Title XI, Group Practice Medical Facilities.

**Length and Time Phasing of Assistance:** See Formula and Matching Requirements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by FHA. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to FHA. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD/FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured - reported under program No. 14.154).

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** (Reported under program No. 14.154).

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Land Development Handbook for Title X Mortgage Insurance," no charge; "Demonstration Cities and Metropolitan Development Act of 1966," no charge; "HUD Aids for Financing Group Practice Medical Facilities," no charge; 24 CFR 233.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office listed in the Catalog address appendix.

**Headquarters Office:** Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 755-5544.

**RELATED PROGRAMS:** 14.116, Mortgage Insurance—Group Practice Facilities; 14.125, Mortgage Insurance—Land Development and New Communities; 14.152, Mortgage Insurance—Experimental Homes; 14.154, Mortgage Insurance—Experimental Rental Housing; 14.207, New Communities—Loan Guarantees; 45.001, Promotion of the Arts—Design Arts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.154 MORTGAGE INSURANCE—EXPERIMENTAL RENTAL HOUSING

### (233 (Multifamily) Experimental Housing)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1961 and thereafter, Section 233; Public Law 87-70; 12 U.S.C. 1715(x).

**OBJECTIVES:** To provide mortgage insurance to help finance the development of multifamily housing that incorporates new or untried construction concepts designed to reduce housing costs; raise living standards; and improve neighborhood design.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD/FHA insures lenders against loss on mortgage loans. These loans may be used to finance the construction or rehabilitation of multifamily housing meeting the requirements of other FHA mortgage insurance programs, except that the use of advanced technology or experimental property standards for neighborhood design is required. The program is intended to speed the development of new concepts by reducing the risks involved for underwriting mortgages on housing incorporating experimental materials, designs, and techniques. Title II provisions apply where non-experimental features are utilized.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Interested sponsors, able to prove the property which is proposed is an acceptable risk for testing advanced housing design or experimental property standards, are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The sponsor will have a preapplication conference with the local HUD Insuring Office to determine the preliminary feasibility of the project before a formal application is submitted. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The sponsor submits a formal application through a HUD/FHA approved mortgagee to the HUD Insuring Office for review and approval. A copy of the application will be forwarded by the insuring office to the HUD Central Office in Washington, DC for approval.

**Award Procedure:** Decision for acceptable experimental features to be used in Section 233 is determined by the HUD headquarters office.

**Deadlines:** Deadlines are established on a case-by-case basis by the local insuring office, and are mutually agreed to at the preapplication conference.

**Range of Approval/Disapproval Time:** Processing time, depending upon the degree of preparation by the sponsor, complexity and scope of proposed project, range to 6 to 9 months from the first conference with HUD/FHA to the issuance of a firm commitment after approval for the experimental program.

**Appeals:** If an application for mortgage insurance is refused, HUD/FHA will state the reasons for the refusal. If reapplication is desired, the applicant may reapply, subject to concurrence of the lender.

**Renewals:** The term of a commitment to insure may be extended when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The type of construction, mortgage limit, downpayment, term, interest rate, and fees are governed by eligibility requirements of the applicable multifamily mortgage or improvement loan insurance program.

**Length and Time Phasing of Assistance:** See Formula and Matching Requirements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD/FHA. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD/FHA. All approved mortgages at any time upon request by HUD/FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages insured-including activity for 14.153) FY 81 $200,000; FY 82 $200,000; and FY 83 est $200,000.

**Range and Average of Financial Assistance:** Average $2,314,814 insurance per project.

**PROGRAM ACCOMPLISHMENTS:** Cumulatively a total of approximately 5,000 (Program Accomplishments include activities reported under program 14.153) units have been insured for a total of $100,000,000 in mortgages since the program's inception.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 233.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Area or Insuring Office listed in the appendix.

**Headquarters Office:** Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 755-5544.

**RELATED PROGRAMS:** 14.152, Mortgage Insurance—Experimental Homes; 14.153, Mortgage Insurance—Experimental Projects Other Than Housing; 14.158, Public Housing—Comprehensive Improvement Assistance Program; 45.001, Promotion of the Arts—Design Arts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.155 MORTGAGE INSURANCE FOR THE PURCHASE OR REFINANCING OF EXISTING MULTIFAMILY HOUSING PROJECTS

### (Section 223(f) Pursuant To Section 207)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Section 223(f) of the National Housing Act as amended by the Housing and Community Development Act of 1974, Public Law 93-383.

**OBJECTIVES:** To provide mortgage insurance for the purchase or refinancing of existing multifamily housing projects, whether conventionally financed or subject to federally insured mortgages at the time of application for mortgage insurance.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against losses on mortgage loans. These loans may be used to purchase or refinance existing multifamily housing projects. As a matter of policy only rental housing projects not requiring substantial rehabilitation are acceptable under this section. The estimated cost of required repairs may not exceed 15 percent of the estimated value after repairs or $3,000, per unit whichever is greater.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The mortgagors may be either private or public as defined in Section 207.17 of the Code of Federal Regulations (CFR 24). Property must consist of not less than 5 living units. Property must meet the following criteria: (a) Three years must have elapsed from the later of the date of completion of the project or beginning of occupancy to date of application for mortgage insurance. (b) Remaining economic life must be long enough to permit at least a ten-year mortgage term.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the purchaser of existing mortgagor in refinance projects are assembled by the mortgagee and submitted with the application. Management plan must be submitted at time of application for commitment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Before the application is filed, the sponsor shall have a conference with local HUD Field Office Staff.

**Application Procedure:** The applicant will submit a formal application for conditional or firm commitment, using FHA Form 2013, through a HUD approved mortgagee.

**Award Procedure:** The local office reviews the application to determine proposal eligibility. The local office issues the commitment subsequent to technical processing which indicates that the proposal is acceptable for mortgage insurance.

**Deadlines:** Deadlines are established on a case-by-case basis.

**Range of Approval/Disapproval Time:** Same as above.

**Appeals:** If an applicant for mortgage insurance is refused, HUD will state the reasons for refusal.

**Renewals:** The term of a commitment to insure may be extended under certain circumstances when more time is required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan will not be in excess of 85 percent of the Commissioner's estimate of value. The current maximum permissible interest rate is 16 1/2 percent plus for the first year 1 percent for mortgage insurance premium; thereafter, a .5 percent mortgage insurance premium will be applied. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage term should not be less than 10 years nor should it exceed the lesser of 35 years or 75 percent of the estimated remaining economic life of the physical improvements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage term must be reported. All mortgagors are required to submit annual financial statements to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD Regulations and Standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD Regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages Insured) FY 81 $63,288,200; FY 82 est $28,506,000; and FY 83 est $12,099,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 19 projects with 4,864 units were insured with a value of $63,288,200. Cumulatively, 360 projects with 86,300 units and a value of $1,304,463,191 were insured.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 207.32 a, HUD Handbook 4565.1, Mortgage Insurance for the purchase or Refinancing of Existing Multifamily Housing Projects, Section 223(f).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Office of Multifamily Housing Development, Multifamily Housing Development Division, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-9280.

**RELATED PROGRAMS:** 14.134, Mortgage Insurance—Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.156 LOWER INCOME HOUSING ASSISTANCE PROGRAM

### (Section 8—Housing Assistance Payments Program for Lower Income Families)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1937, Public Law 75-412; 42 U.S.C. 1401-1435, as amended by the Housing and Community Development Act of 1974, Public Law 93-383; 88 Stat. 662, 42 U.S.C. 1437f; the Supplemental Housing Authorization Act of 1977, Public Law 95-24; 91 Stat. 53; and the Housing and Community Development Act of 1977, Public Law 95-128; 91 Stat. 1111; Housing and Community Development Amendments of 1978, Public Law 95-557; 92 Stat. 2080; Housing and Community Development Amendments of 1979, Public Law 96-153; 93 Stat. 1121; Housing and Community Development Act of 1980, Public Law 96-399; 94 Stat. 1614; Housing and Community Development Amendments of 1981, Public Law 97-35.

**OBJECTIVES:** To aid lower-income families in obtaining decent, safe and sanitary housing in private accommodations and to promote economically mixed existing, newly constructed, and substantially and moderately rehabilitated housing.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Provides housing assistance payments to participating private owners and Public Housing Agencies (including Indian Housing Authorities) on behalf of eligible tenant to provide decent, safe and sanitary housing for lower and very low income families at rents they can afford. Housing assistance payments are used to make up the difference between the owner's approved rent due to the owner for the dwelling unit which must be reasonable in relation to rents for comparable units, and the occupant family's required contribution towards rent. Assisted families are required to contribute at least 30 percent of their adjusted family income toward rent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any private owner (profit-motivated and nonprofit), cooperative, or an authorized Public Housing Agency (any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for low-income families).

**Beneficiary Eligibility:** Very low-income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families); lower income families (whose income does not exceed 80 percent of the median income for the area adjusted for family size). A very low income or lower income single person who is elderly, disabled or handicapped, displaced, or the remaining member of an eligible tenant family is also eligible. At least 90 percent of the families assisted should be very low income families with gross incomes not in excess of 50 percent of median income of the locality.

**Credentials/Documentation:** In the Existing Housing and Moderate Rehabilitation Program, the Public Housing Agency must support its application by furnishing data that the program proposed is consistent with any applicable Local Housing Assistance Plan. In the absence of such a Plan, the Public Housing Agency must demonstrate that the proposed program is responsive to the condition of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, handicapped and disabled, large families and those displaced or who will be displaced) residing in or expected to reside in the community; and that there is or will be available in the area public facilities and services adequate to serve the proposed housing. In the case of a State Housing Agency new construction or substantial rehabilitation application the State Agency shall provide certification that based upon an HFDA or HFDA-approved housing needs study, there is need for housing assistance for the number and size of units applied for: An application for housing to be newly constructed or substantially rehabilitated under the Section 8 State Agency program is exempt from the provisions of Section 213(a) of the HCD Act unless the unit of general local government in which the assistance is to be provided objects in its Housing Assistance Plan to the exemption. In the latter case, no application for housing may be approved by HUD unless HUD requirements implementing the provisions of Section 213 or the HCD Act have been satisfied. In the Section 8 New Construction and Substantial Rehabilitation Programs administered directly by HUD, proposals are generally submitted in response to Notifications of Fund Availability published for specific allocation areas, based on the area's Fair Share Allocations. Selections are generally made on a competitive basis. Previously submitted "pipeline" proposals which are of high quality and were found approvable but not funded in the prior fiscal year are reviewed first, when any new contract authority becomes available. If additional authority remains, HUD may consider preapproved sites, and in certain areas, permit selection of developers by local governments. Where there are set-asides for projects to be owned by local Public Housing Agencies or to be located in HUD-approved New Communities or for other purposes, proposals may be received, processed and approved without the need to await specified acceptance periods or to undergo formal competition.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Chief Executive Officer of the unit of general local government in which the proposed housing is to be carried out will have an opportunity to comment on the proposed housing. Where there is an approved Housing Assistance Plan, the local government has the opportunity to object to the approval of the application on the grounds that the application is inconsistent with its Housing Assistance Plan. Where there is no Housing Assistance Plan, the local government has an opportunity to comment upon, or provide information concerning the need for housing assistance and the availability of local facilities and public services to serve the proposed housing. The cover letter will invite a response within 30 days. Within threshold limits of the Procedures for Protection and Enhancement of Environmental Quality (24 CFR Part 50), an environmental impact statement may be required for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Submission of Application for Housing Assistance Payments Program (Form HUD-52515), Existing Housing; Submission of Application for Housing Assistance Payments Program (Form HUD-52515A), Moderate Rehabilitation; Submission for Assignment of Portion of Set-Aside to Specific Project, State Housing Finance or Development Agencies (Form HUD-52516); and submission of Preliminary Proposals in response to a HUD "Notification of Fund Availability" or other invitation for newly constructed and/or substantially rehabilitated units.

**Award Procedure:** The local HUD Field Office Manager (or Regional administrator for Region VIII) makes final decision to authorize approval of individual applications, for the Section 8 Existing and

Moderate Rehabilitation Programs, or approve selection of Preliminary Proposals for the New Construction and Substantial Rehabilitation Programs. In the case of State Housing Agency projects, initial selection of projects is the responsibility of that Agency.

**Deadlines:** Generally, deadlines for receipt of Preliminary Proposals for newly constructed and/or substantially rehabilitated housing by HUD shall be specified in the detailed Notification of Fund Availability which is available in the HUD Field Office. Generally, applications for existing and moderately rehabilitated housing should be submitted within 30 days and 60 days, respectively, from the date of HUD invitation. Modification of the deadline may be allowed, under certain circumstances. For State Agency new construction and substantial rehabilitation projects, the State Agency establishes its own application submission period.

**Range of Approval/Disapproval Time:** Approximately 30 to 90 days for receipt and clearance of preliminary applications and preliminary proposals, contingent upon method of production.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There are no matching requirements. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors used for fund allocation are (1) county population from the source P-25, Census; (2) county poverty levels-number of households with incomes less than 50 percent of the county median from the source 1970 Census; (3) county overcrowded housing-number of housing units having a ratio of 1.01 or more persons per room from the source 1970 Census; (4) county housing vacancies-number of housing units needed to raise the vacancy rate to 6 percent from the source 1970 Census; (5) county substandard housing-number of housing units lacking some or all plumbing from the source 1970 Census; (6) county cost adjustment factor calculated from 3 sources, 1970 Census; Monthly Labor Review, Bureau of Labor Statistics; Annual Housing Survey. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Assistance payments for any unit may run for a minimum period of one month and for the following maximum periods. In the case of units under contract in the existing program, payments may be made generally for 12 to 36 months and may be renewed for up to 180 months. For units under the Moderate Rehabilitation Program, payments may be made for up to 180 months. In the case of new or substantially rehabilitated units, payments will be made for a period of between 240 and 480 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Initial Estimate of Required Annual Contributions (Preliminary Costs), HUD Form 52671; Estimate of Required Annual Contributions, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; and Requisition for Partial Payment of Annual Contributions Housing Assistance Payments Program, HUD Form 52663; Housing Owners Certification and Application for Housing Assistance Payments, HUD Form 52670; Schedule of Housing Assistance Payments Payable, HUD Form 52670A.

**Audits:** Periodic fiscal, occupancy, general management and maintenance audits.

**Records:** Those necessary to indicate compliance with Annual Contributions Contract/Housing Assistance Payments Contract.

**FINANCIAL INFORMATION:**

**Account Identification:** (Housing Payments) 86-0139-0-1-604.

**Obligations:** (Use of Appropriation to Liquidate Contract Authority) FY 81 $4,612,706,000; FY 82 est $5,834,000,000; and FY 83 est $6,581,000,000.

**Range and Average of Financial Assistance:** Amount necessary to lease units and cover related administration, management and maintenance and operating expenses including utilities, not to exceed HUD approved reasonable rents for constructed or existing comparable units, offering equivalent accommodations, utilities and services, for the housing area in which the units will be located.

**PROGRAM ACCOMPLISHMENTS:** By the end of fiscal year 1981, a total of 1,318,927 units were receiving subsidies under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR Part 880, 881, 882, 883, 884, and 886; Section 8 Housing Assistance Payments Program, New Construction Processing Handbook 7420.1 REV-1; Substantial Rehabilitation Processing Handbook, 7420.2 REV-1; Existing Housing and Moderate Rehabilitation Processing Handbook, 7420.3; Housing Finance and Development Agencies Processing Handbook, 7420.4; PHA Administrative Practices Handbook for the Section 8 Existing Housing Program, 7420.7; Accounting Handbook 7420.6; Section 8 Special Allocations Program for Project with HUD-Insured or HUD-Held Mortgages, HUD Handbook 4352.1.

**INFORMATION CONTACTS:**

**Regional or Local Office:** HUD Field Office listed in the Catalog address appendix that has jurisdiction over the area in which the dwellings are to be located. For Region VIII, contact the HUD Director, Office of Regional Housing.

**Headquarters Office:** For Existing Housing and Moderate Rehabilitation - Public and Indian Housing, Housing, Telephone: (202) 755-5597. For non-State Agency New Construction and Substantial Rehabilitation - Office of Multifamily Housing Development, Development Division. Telephone (202) 755-9280; For State Agency New Construction and Substantial Rehabilitation - Office of State Agencies and Bond Financed Programs, State Agency Division, Telephone: (202) 426-0730; Department of Housing and Urban Development, Washington, DC 20410.

**RELATED PROGRAMS:** 14.146, Low Income Housing—Assistance Program; 14.147, Low Income Housing—Homeownership Opportunities for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.157 HOUSING FOR THE ELDERLY OR HANDICAPPED

### (202)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1959, as amended by the Housing and Community Development Act of 1974, Title II, Public Law 86-372, 12 U.S.C. 170lq, 73 Stat. 654, 667.

**OBJECTIVES:** To provide for rental or cooperative housing and related facilities (such as central dining) for the elderly or handicapped.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Direct loans may be used to finance the construction or rehabilitation of rental or cooperative detached, semidetached, row, walk-up or elevator-type structures.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private nonprofit corporations and consumer cooperatives. Public bodies and their instrumentalities are not eligible Section 202 applicants.

**Beneficiary Eligibility:** Beneficiaries of housing developed under this program must be elderly (62 years of age or older), physically handicapped, or developmentally disabled. Families whose incomes fall within 50 percent of the median family income for the area in which the project is located may benefit from subsidy payments under the Section 8 Housing Assistance Payments Program.

**Credentials/Documentation:** The nonprofit applicant and borrower must receive certification of eligibility from HUD. The applicant must submit financial statements to support its ability to provide a capital investment of 1/2 of 1 percent of the mortgage amount, up to a maximum of $10,000.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** At the fund reservation processing stage, a copy of each application/proposal will be forwarded to the Chief Executive Officer of the unit of local government in which the housing is to be located. The cover letter will invite a response within 30 days. Within threshold limits of the procedures for Protection and Enhancement of the Environmental Quality (36 F.R. 19182), an environmental impact statement may by required for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** A general announcement of Fund Availability is published in the Federal Register early in each fiscal year announcing the availability of funds to HUD field offices. Applicants must submit a Request for Fund Reservation in response to an invitation published by the local HUD field office.

**Award Procedure:** Applications are reviewed and selected for funding within the funding allocation of the particular HUD field office. Those selected for funding must meet basic program requirements including but not limited to: eligibility as a nonprofit corporation, financial capacity and prior experience in housing or related service activities. The Request for Direct Loan Financing, using HUD Form 92013, is reviewed to determine acceptability of project site and market, correctness of zoning, effect on environment, value of site and financial feasibility.

**Deadlines:** Applications must be submitted within the time period specified in the invitation, usually 6 to 10 weeks.

**Range of Approval/Disapproval Time:** At the fund reservation stage, the sponsor is advised of the decision in 5-6 months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factor used for fund allocation is income eligible universe of elderly by county: persons 62 years and over having incomes below 50 percent of the median family income from the source survey of Income and Education, Census. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** The loan period may not exceed 40 years. Section 8 payments may not exceed 20 years. To maintain fund reservation, project must be placed under construction within 18 months from the time the notice of approval is received. One extension may be granted, not to exceed six months. Funds will be advanced on a monthly basis during construction for work in place.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in the borrower during the period of the loan must be approved by HUD. All borrowers will be required to submit an annual financial statement to HUD.

**Audits:** HUD reserves the right to audit the accounts of the borrower in order to determine compliance and conformance with HUD regulations and standards.

**Records:** Regular financial reports are required. Borrowers must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Borrower must also supply those records necessary to indicate compliance with the Section 8 contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4115-0-3-371.

**Obligations:** (Reservation) FY 81 $872,577,000; FY 82 est $819,231,000; and FY 83 est $453,000,000.

**Range and Average of Financial Assistance:** Approximate average award $1,926,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981,15,166 units were funded for a total of $872,577,000. Cumulative totals through September 30, 1981 are 131,032 units funded for a total of $5,065,991,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 885; HUD Handbook 4571.1 Rev.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Area or Multifamily Service Office listed in the Catalog address appendix.

**Headquarters Office:** Elderly, Cooperative Congregate and Health Facilities Division, Office of Multifamily Housing Development, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6142.

**RELATED PROGRAMS:** 14.141, Nonprofit Sponsor Assistance Program; 14.156, Lower Income Housing Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.158 PUBLIC HOUSING—COMPREHENSIVE IMPROVEMENT ASSISTANCE PROGRAM

### (Public Housing Modernization)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1937, as amended; Public Law 75-412; 50 Stat. 888; 42 U.S.C. 1430-1437j.

**OBJECTIVES:** To provide annual contributions to improve the physical condition and upgrade the management and operation of existing public housing projects to assure that they continue to be available to serve low-income families.

**TYPES OF ASSISTANCE:** Direct Loans; Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Comprehensive Improvement Assistance Program (CIAP) funds may be used to finance capital improvements, as well as major repairs, management improvements, replacement reserves, and planning costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public Housing Agencies (PHAs) (including Indian Housing Authorities) operating PHA-owned low income public housing projects under an existing annual contributions contract(ACC).

**Beneficiary Eligibility:** The tenants of the modernized project are the ultimate beneficiaries.

**Credentials/Documentation:** Procedures are provided to PHAs advising them of the eligibility requirements to qualify for an allocation of CIAP funds.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** PHAs consult informally with HUD Field Offices regarding their needs and availability of CIAP funding.

**Application Procedure:** Applications to be submitted in accordance with requirements of the CIAP Handbook 7485.1 REV.

**Award Procedure:** The HUD Field Office Director approves CIAP programs and related modernization program budgets. The Field Office is responsible for providing notification to HUD Headquarters of the approval of funds.

**Deadlines:** Deadlines are specified in the HUD Field Office notices to PHAs, indicating when funds are available.

**Range of Approval/Disapproval Time:** No approval time has been established; however HUD Field Offices process the programs, if approvable, as expeditiously as possible, subject to the availability of funds.

**Appeals:** PHAs are notified by HUD Field Offices if a program is not approvable. The PHA is permitted to revise its program following the recommendations of the Field Office.

**Renewals:** Extensions of programs are considered and approved.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula based on annual contributions needed to meet debt service requirements. PHAs shall use current operating funds to assist in the financing of the CIAP work programs if such funds are available. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** It is anticipated that most approved CIAP work will be completed 36 months after amendment of the ACC. Funds are provided on the basis of budget needs. Annual contributions are paid over a 20-year period to amortize the capital cost of the CIAP work.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly progress reports on fund expenditures and work progress are prescribed by the CIAP Handbook 7485.1 REV. Also upon completion, a final report is required.

**Audits:** The CIAP is audited in conjunction with regular HUD or independent public accountant audits of PHA operations.

**Records:** Copies of budgets and accumulative cost records through the period of modernization.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0139-0-1-604; 86-4098-0-3-604.

**Obligations:** (Loans) HUD has available $90.0 million in contract authority in fiscal year 1982 which will finance approximately $981,900,000 of capital improvements in existing public housing projects; and in fiscal year 1983 a $981,900,000 level of activity, financed by $90.0 million in contract authority is anticipated.

**Range and Average of Financial Assistance:** Funds are allocated to individual PHAs by HUD field offices after consideration of total PHAs' needs within the field office jurisdiction.

**PROGRAM ACCOMPLISHMENTS:** Through September 30, 1982, approximately $4,494,569,000 of capital improvements will be financed by the Public Housing Modernization Program, which was the CIAP's predecessor.

**REGULATIONS, GUIDELINES, AND LITERATURE:** CIAP Handbook 7485.1 REV.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Inquiries should be addressed to the Director of the appropriate HUD Field Office (see Catalog address appendix IV for HUD field office addresses and States under each field office's jurisdiction).

**Headquarters Office:** Deputy Assistant Secretary for Public and Indian Housing, Housing, Department of Housing and Urban Development, Washington, DC 20413. Telephone: (202) 755-6522.

**RELATED PROGRAMS:** 14.146, Low Income Housing—Assistance Program; 14.147 Low Income Housing—Homeownership Opportunities for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.159 SECTION 245 GRADUATED PAYMENT MORTGAGE PROGRAM

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Section 245, National Housing Act of 1934, Public Law 73-479, added by Section 308, Housing and Community Development Act of 1974, Public Law 93-383. Section 245(b) was added by the Housing and Community Development Amendments of 1979. Section 245 became Section 245(a).

**OBJECTIVES:** To facilitate early homeownership for households that expect their incomes to rise. Program allows homeowners to make smaller monthly payments initially and to increase their size gradually over time.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on Mortgage loans. These mortgage loans may be used by owner-occupant mortgagors to finance the purchase of proposed, under construction, or existing single family housing. Maximum insurable mortgage is the lesser of (1) maximum Section 203(b) limits; (2) 97 percent of the first $25,000 of value and closing costs, plus 95 percent of the remainder; or (3) 97 percent of the appraised value and closing costs of the property, minus all of the deferred interest which would accrue during the graduated term. Section 245(b) permits lowers downpayments which may be as low as those allowed under Section 203(b). This program is limited to proposed construction and substantial rehabilitation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons are eligible to apply for Section 245(a). Under Section 245(b), the borrower cannot have owned a home in the last three years or be eligible for any other HUD mortgage insurance program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the applicant are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application conference with the mortgage lender submitting the application is suggested. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications are submitted for review and approval or disapproval to the local HUD field office through an FHA-approved mortgagee. Under Section 245(b), program activity is limited to 50,000 mortgages or 10 percent of insurance activity, whichever is greater.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal HUD processing time is 2 days for approval of the property and 3 days for approval of the applicant.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The downpayment would be the difference between the maximum loan amount and the purchase price of the home. In addition, the purchaser must pay for all items of prepaid expense. The current HUD maximum interest rate is 16 1/2 percent plus one-half percent for mortgage insurance premium. The origination charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The term of the mortgage is limited to 30 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** HUD reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages Insured) FY 81 $2,710,240,760; FY 82 est $4,190,438,000; and FY 83 est $5,950,550,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 50,013 units valued at $2,710,240,760 were insured. Cumulative totals through September 30, 1981 are 291,860 units insured with a value of $14,190,454,191.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "move in...With A Graduated Payment Mortgage", no charge; "Lending and Selling With A Graduated Payment Mortgage", no charge; 24 CFR 203.45.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.117, Mortgage Insurance—Homes;

14.118, Mortgage Insurance—Homes for Certified Veterans; 14.119, Mortgage Insurance—Homes for Disaster Victims; 14.120, Mortgage Insurance—Homes for Low and Moderate Income Families; 14.121, Mortgage Insurance—Homes in Outlying Areas; 14.122, Mortgage Insurance—Homes in Urban Renewal Areas; 14.123, Mortgage Insurance—Housing in Older, Declining Areas; 14.140, Mortgage Insurance—Special Credit Risks; 14.147, Low Income Housing—Homeownership Opportunities for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.161 SINGLE-FAMILY HOME MORTGAGE COINSURANCE

### (Single—Family Coinsurance Program)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 244, Public Law 73-479, as added by Section 307, Housing and Community Development Act of 1974, Public Law 93-383.

**OBJECTIVES:** To improve quality and timeliness of service to mortgagers by streamlining HUD mortgage insurance processing.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one-to-four family housing, as well as to refinance indebtedness on existing housing. Maximum insurable loans for an occupant mortgagor are the same as prescribed for Section 203(b).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and qualifications of the mortgagor are assembled and reviewed by the mortgagee together with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Until approval by HUD as a coinsurance lender, application is submitted for review and approval or disapproval to the local HUD office by the HUD-approved mortgagee. After approval as a coinsurance lender, application is approved or disapproved by the lender.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** For lender processing, times vary by lender.

**Appeals:** Lender will state reasons for refusing an application. Applicant may reapply to that lender, or seek another lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families the maximum amount of the loan is 97 percent of the first $25,000 of estimated value and closing costs, plus 95 percent of the remainder. The downpayment would be the difference between the maximum loan amount and the purchase price of the home. In addition to the downpayment, the purchaser must pay for all items of prepaid expense. The current HUD maximum interest rate is 16 1/2 percent plus 1/2 percent for mortgage insurance premium. The origination charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** The mortgage terms may extend for 30 years, or 3/4 of the remaining economic life of the property, whichever is less, except 35 years if the mortgagor is unacceptable under a 30-year term and the property was constructed subject to HUD or VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards. Also, lenders processing is subject to post-review by the Department.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages Insured) FY 81 $156,315,056; FY 82 est $238,955,000; and FY 83 est $339,324,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,669 units valued at $156,315,056 were insured. Cumulative totals through September 30, 1981 are 15,379 units insured with a value of $535,752,171.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Single Family Coinsurance Program" Handbook 4205.1, no charge; 24 CFR 204.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office, listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.162 MORTGAGE INSURANCE—COMBINATION AND MOBILE HOME LOT LOANS

### (Title I)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Title I, Section 2, 12 U.S.C 1703, Public Law 93-383, amended by Public Law 94-173 and Public Law 95-128.

**OBJECTIVES:** To make possible reasonable financing of mobile home purchase and lot to place it on.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. Insured loans may be used to purchase mobile homes and lots for buyers intending to use them as their principal places of residence. Maximum mortgage amount is $35,000 for a single module and developed lot ($47,500 for two or more modules and developed lot). The lot must be appraised by the Secretary's designated agent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the mobile home unit, Secretary's appraisal of the lot, and the qualifications of the borrower are submitted to the lender.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Lot appraisal by Secretary's designated agent.

**Application Procedure:** Application is submitted to a HUD-approved lender for review and approval.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** HUD does not ordinarily participate in the approval or disapproval of individual loans.

**Appeals:** The applicant may reapply.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** HUD insures private lenders against losses of up to 90 percent of any single mortgage loan with maximum mortgage insurance coverage limited to a total of 10 percent of the total amount insured. A low downpayment is required. The financing charge is 18 1/2 percent (annual percentage rate). Insurance charges are 54 cents per $100 per year of the amount advanced (included in finance charge).

**Length and Time Phasing of Assistance:** The loan term may extend for up to 20 years and 32 days. (25 years and 32 days for two or more sections.)

POST ASSISTANCE REQUIREMENTS:

**Reports:** Annual Delinquency Report (call Report) is required of each lender.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of lenders in order to determine their compliance and conformance with regulations and standards.

**Records:** Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the regulations.

FINANCIAL INFORMATION:

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Guaranteed/Insured Loans) Reported under program No. 14.142.

**Range and Average of Financial Assistance:** $35,000 for single unit and developed lot. $47,500 for two or more units and developed lot.

PROGRAM ACCOMPLISHMENTS: Reported under program No. 14.142.

REGULATIONS, GUIDELINES, AND LITERATURE: 24 CFR 201.1500 et seq.

INFORMATION CONTACTS:

**Regional or Local Office:** Contact the appropriate HUD field office listed in the Catalog address appendix.

**Headquarters Office:** Director, Office of Title I Insured Loans, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6880.

RELATED PROGRAMS: 14.110, Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers; 14.127, Mortgage Insurance—Manufactured (Mobile) Home Parks; 14.142, Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 14.163 MORTGAGE INSURANCE—COOPERATIVE FINANCING

## (203(n))

FEDERAL AGENCY: HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

AUTHORIZATION: National Housing Act, Section 203(n), added by Emergency Home Purchase Assistance Act of 1974; Public Law 93-449, 88 Stat. 1364.

OBJECTIVES: To provide insured financing for the purchase of the Corporate Certificate and Occupancy Certificate Ownership of the corporate carries the right to occupy the unit located within the cooperative project.

TYPES OF ASSISTANCE: Guaranteed/Insured Loans.

USES AND USE RESTRICTIONS: HUD insures lenders against loss on mortgage loans. These insured loans may be used to assist individuals or families in acquiring corporate certificates and occupancy certificates in cooperative housing projects which are covered by blanket mortgages insured under the National Housing Act. The maximum insurable mortgage loan is limited to the maximun limit under Section 203(b), minus the portion of the unpaid balance of the blanket mortgage which is attributable to the dwelling unit.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Potential owner-occupant mortgagors are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD field office through a HUD approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** For most families, the maximum amount of the mortgage loan is 97 percent of the first $25,000 of estimated value plus 95 percent of the remainder, plus closing costs. The unit share of the project mortgage is deducted to determine the maximum Section 203(n) loan. The cooperative project must have been approved by HUD-FHA prior to start of construction. The current maximum interest rate is 16 1/2 plus one-half percent for mortgage insurance premium. The service charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage amount.

**Length and Time Phasing of Assistance:** The mortgage term is 30 years or the remaining term of the blanket mortgage covering the cooperative development or three-quarters of the remaining economic life, whichever is the least. The amortization period must be either 5, 10, 15, 20, 25 or 30 years.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

FINANCIAL INFORMATION:

**Account Identification:** 86-4070-0-3-371.

**Obligations:** Reported under program No. 14.117.

**Range and Average of Financial Assistance:** See Uses and Use Restrictions.

PROGRAM ACCOMPLISHMENTS: During fiscal year 1981, 6 mortgages were insured with a value of $289,650.

REGULATIONS, GUIDELINES, AND LITERATURE: HUD 4240.3, Section 203(n) Application Through Insurance (Single Family) no charge; 24 CFR 203.43c and 203.437.

INFORMATION CONTACTS:

**Regional or Local Office:** Persons are encouraged to communicate with the nearest HUD Field Office listed in address Appendix IV of the Catalog.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone (202) 755-6720.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes; 14.132, Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.164 OPERATING ASSISTANCE FOR TROUBLED MULTIFAMILY HOUSING PROJECTS

### (Troubled Projects Program (Flexible Subsidy))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing and Community Development Amendments of 1978; Public Law 95-557; 12 U.S.C. 17152-1.

**OBJECTIVES:** To provide assistance to restore or maintain the financial soundness, to assist in the management and to maintain the low-to moderate-income character of certain projects assisted or approved for assistance under the National Housing Act or under the Housing and Urban Development Act of 1965.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Flexible Subsidy will be given to those eligible projects in an amount based on the project's total needs. It may be used to correct physical deficiencies resulting from deferral of regular maintenance; to reduce deficiencies in replacement reserve funds; and to fund operating deficits. Flexible Subsidy assistance is limited to projects assisted under Section 236 or the proviso of Section 221 (d) (5) of the National Housing Act; or those assisted under Section 101 of the HUD Act of 1965.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible owners include nonprofit, profit-motivated, limited dividend, cooperative owners. Public bodies do not qualify for this program. Field Offices designate projects to be assisted. No applications are accepted.

**Beneficiary Eligibility:** Tenants will benefit because this will allow rents to remain low and will maintain decent, safe and sanitary conditions in projects. Additionally, this program will guarantee good management in those projects selected.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of managing agents and owners are assembled by the owners and submitted to the HUD Office.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Assurance must be gained from the appropriate unit of local government that essential services will be provided to the project; the real estate taxes will be assessed in a manner consistent with normal assessment procedures; and that assistance is not inconsistent with local plans and priorities.

**Application Procedure:** HUD identifies those projects that need this aid and asks the owner to submit the appropriate documentation. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** For most of the Flexible Subsidy assistance, money is allocated from HUD Headquarters to the Regional and Field Offices, and from the Field Offices to individual projects. A small amount of money is reserved in Headquarters to be allocated from here to Field Offices for projects with certain special needs.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Allocations between Regions and Field Offices based on percent of defaults and claims of national total; percent of subsidized inventor of national total; amount of need as determined in Needs Survey conducted in 1979 and updated annually. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Assistance usually for 1 year period, issued monthly according to preapproved work schedule. Dollars appropriated must be under contract by the end of the following fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly assessment and review of owner performance. Monthly reporting of individual disbursements and action items. Periodic on-site visits.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficienty, economically, and effectively.

**Records:** Owner keeps all records relating to MIO Plan transactions for at least 5 years. Field Office retains all records relating to assistance for 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0172-0-1-604.

**Obligations:** (Use of Budget Authority) FY 81 $114,073,000; FY 82 est $52,677,000; and FY 83 est $32,000,000.

**Range and Average of Financial Assistance:** Based on need of project. Average FY 82 est $297,000; FY 83 est $326,500.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 2,404 projects were assisted with obligations of $114,073,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR part 219. HUD Handbook 4351.1.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Field Office: Chief, Loan Management Branch.

**Headquarters Office:** Director, Management Operations Division, Office of Multifamily Housing Management and Occupancy, Housing, Department of Housing and Urban Development, Washington, DC 20410 Telephone: (202) 755-5866.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Only those projects are funded that (1) are insured and have financial and management problems which are in danger of assignment or foreclosure; (2) are insured or HUD-held with financial or management problems; (3) are operating on a marginal basis and likely to experience servere financial and management problems within 5 years. These are priority order. Funding of eligible State Agency projects was approved under the Act for fiscal year 1980 funding.

**CRITERIA FOR SELECTING PROPOSALS:** Assistance will be granted only if: (1) that assistance will restore or maintain financial soundness and the low-or moderate-income nature of the project; (2) this assistance is less costly to the Federal Government than any other available; (3) the project owner agrees to provide assistance to the project; (4) the project can be made structurally sound with this assistance; (5) the project management is at least satisfactory; and (6) the project is operated and managed in accordance with the terms of the Management Improvement and Operation (MIO) Plan which is designed to reduce the operating costs of the project.

## 14.165 MORTGAGE INSURANCE—HOMES—MILITARY IMPACTED AREAS

### (238(c))

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 238(c), Public Law 93-383; 42 U.S.C. 3535(d).

**OBJECTIVES:** To help families undertake home ownership in military impacted areas.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one - to four-family housing, as well as to refinance indebtedness on existing housing. Maximum loans for an occupant mortgagor are the same as prescribed for Section 203(b). Mortgages may be insured under any section of Title II pursuant to Section 238(c) provided the property is located in areas designated as military impacted areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All families are eligible to apply. The requirements will vary with the Section under which the loan is insured. Section 203(b) requirements are outlined below. It should be emphasized that the mortgage insurance premium is one percent under this program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time is 2 days for approval of the property and 3 days for approval of the mortgagor.

**Appeals:** HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For most families the maximum amount of the loan is 97 percent of the first $25,000 of estimated value and closing costs, plus 95 percent of the remainder. The downpayment would be the difference between the maximum loan amount and the purchase price of the home. In addition to the downpayment, the purchaser must pay for all items of prepaid expense. The current maximum interest rate is 16 1/2 percent plus one percent for mortgage insurance premium. The origination charge by the mortgagee varies, but may not normally exceed one percent of the total mortgage.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 30 years, or three-fourths of the remaining economic life, whichever is less, except 35 years if the mortgagor is unacceptable under a 30-year term and the property was constructed subject to HUD or VA inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage term must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:** Mortagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** FY 81 $779,400; FY 82 est $3,354,000; and FY 83 est $4,066,000.

**Range and Average of Financial Assistance:** See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 19 units valued at $779,400 were insured. Cumulative totals through September 30, 1981 are 83 units insured with a value of $3,224,200.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Home Mortgage Insurance," no charge; Fact Sheet "HUD-FHA Program for Home Mortgage Insurance," no charge; 24CFR 203.1 et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.105, Interest Reduction—Homes for Lower Income Families; 14.117, Mortgage Insurance—Homes; 14.118, Mortgage Insurance—Homes for Certified Veterans; 14.119, Mortgage Insurance—Homes for Disaster Victims; 14.120, Mortgage Insurance—Homes for Low and Moderate Income Families; 14.121, Mortgage Insurance—Homes in Outlying Areas; 14.122, Mortgage Insurance—Homes in Urban Renewal Areas; 14.123, Mortgage Insurance—Housing in Older, Declining Areas; 14.140, Mortgage Insurance—Special Credit Risks; 14.147, Low Income Housing—Home Ownership for Low Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.166 MORTGAGE INSURANCE—HOMES FOR MEMBERS OF THE ARMED SERVICES

### (Section 222)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, Section 222, as added by Section 124 of the Housing Act of 1954, Public Law 83-560; 68 Stat. 590.

**OBJECTIVES:** To help members of the armed services on active duty to purchase a home.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** HUD insures lenders against loss on mortgage loans. These insured loans may be used by members of the armed services who have been on active duty for two or more years to finance the purchase of an existing house or to build a new house. They may not use it to refinance a home they already own. HUD insurance on existing mortgages, insured under other HUD programs, may be transferred to Section 222 upon assumption by an eligible member of the service. The mortgage must cover a one-family dwelling. The home may be located any place in the United States, Puerto Rico, Guam, the Trust Territory of the Pacific Islands, or the Virgin Islands. The maximum insurable loan is the same as prescribed for Section 203(b).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Military personnel on active duty for two or more years in any branch of the United States Armed Forces, the Coast Guard or the National Oceanic and Atmospheric Administration may be eligible for mortgage insurance.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. To obtain a Section 222 mortgage, the service member must have a Certificate of Eligibility (DD Form 802), which is issued by the branch of service to which she/he is assigned, and which certifies that the individual needs housing and meets the eligibility requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application is submitted for review and approval or disapproval to the local HUD field office through an FHA-approved mortgagee.

**Award Procedure:** See Application Procedure.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normal processing time after the appraisal is received in the HUD field office is 2 days to issue the commitment and 3 days for approval of the mortgagor.

**Appeals:** None.

**Renewals:** Not Applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum amount of the loan is 97 prcent of the first $25,000, plus 95 percent of the remainder. The downpayment is the difference between the maximum loan amount and the purchase price of the house. The maximum interest rate is estabished by the Secretary of HUD. HUD charges a mortgage insurance premimum of 1/2 of 1 percent a year on the average outstanding balance of the mortgage during the year. For purchasers with a mortgage insured under Section 222, premiums are paid by the Department of Transportation if the purchaser is in the Coast Guard or by the Department of Commerce if she/he is an employee in the National Oceanic and Atmospheric Administration as long as active duty status continues while she/he owns the home.

**Length and Time Phasing of Assistance:** The mortgage term may extend for 30 years (in a few special cases, 35 years) or three-fourths of the remaining economic life of the property, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:** The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with FHA regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Mortgages Insured) FY 81 $12,272,600; FY 82 est $17,129,000; and FY 83 est $22,317,000.

**Range and Average of Financial Assistance:** Maximum $67,500; Average $38,359.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 260 units valued at $12,272,600 were insured. Cumlative totals through September 30, 1981 were 272,925 units insured with a value of $4,428,558,159.

**REGULATIONS, GUIDELINES, AND LITERATURE:** HUD Handbook 4255.1, Mortgage Insurance for Servicemen, Section 222, no charge; 24 CFR 222.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Field Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Single Family Development Division, Office of Single Family Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6720.

**RELATED PROGRAMS:** 14.117, Mortgage Insurance—Homes; 14.133, Mortgage Insurance—Purchase of Units in Condominiums.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.167 MORTGAGE INSURANCE—TWO YEAR OPERATING LOSS LOANS, SECTION 223(D)

### (Two Year Operating Loss Loans)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, as amended in 1968, Public Law 90-448; amended in 1969 Public Law 91-152; 12 U.S.C. 1715x.

**OBJECTIVES:** To insure a separate loan covering operating losses incurred during the first two years following the date of completion of a multifamily project.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** The Secretary insures a loan to cover the excess of expenses over project gross income incurred during the first two years following the date of completion of the project, for such amounts, and upon such terms and conditions as he may prescribe. The loan is issued by the mortgagee under the same section as the original mortgage in an amount not exceeding the excess of operating expenses over project income. Such loan shall bear interest at not to exceed the percentum per annum currently permitted for mortgages insured under the section under which it is to be insured. The loan term shall be limited to the unexpired term of the original mortgage.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owners of a multifamily project or facility subject to a mortgage insured by HUD or held by HUD are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A formal application for insurance accompanied by a financial statement prepared by an independent certified public accountant or independent public accountant.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The HUD Field Office will hold a preliminary conference with the sponsor to provide general application guidance.

**Application Procedure:** The sponsor submits a formal application through a HUD-approved mortgage to the local HUD Area or Insuring Office.

**Award Procedure:** Information submitted by the applicant will be reviewed and analyzed using data available through office records and general current working knowledge of the project and background. A determination is then made as to the maximum insurable loan amount.

**Deadlines:** Application shall be made within three years after the end of the two year period.

**Range of Approval/Disapproval Time:** Processing time will be dependent upon the degree of preparation by the sponsor and will range from three to 9 months from the first conference with local HUD field officials.

**Appeals:** If an application for operating loss loan is refused, HUD will state the reason for the refusal.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount of the loan shall be limited to the lessor of (1) the amount of the operating loss loan requested; (2) the amount of the operating loss established by HUD review or, (3) the maximum loss supported by debt service limitation.

**Length and Time Phasing of Assistance:** The loan may not exceed the remaining term of the insured mortgage.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Defaults in meeting the mortgage terms must be reported.

**Audits:** HUD reserves the right to audit the accounts of the mortgagee or mortgagor to determine compliance and conformance with HUD regulations and standards.

**Records:** Mortgagees are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4070-0-3-371.

**Obligations:** (Loans) FY 81 $413,600; FY 82 est $257,000; and FY 83 est $109,000.

**Range and Average of Financial Assistance:** Average $206,800.

**PROGRAM ACCOMPLISHMENTS:** During the fiscal year ended September 30, 1981, 2 operating loss loans covering 697 units were insured for a value of $413,600. Cumulatively through September 30, 1981, 31 operating loss loans covering 6,229 units were insured for a value of $8,308,152.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 207.4(f) et seq; HUD Handbook 4470.1 REV (Chapter 3), "Project Mortgages Insured Under Section 207 of the Housing Act", No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest local HUD Office listed in the Catalog address appendix.

**Headquarters Office:** Director, Office of Multifamily Housing Development, Room 6128, Washington, DC 20420. Telephone: (202) 755-5720. Director, Office of Multifamily Housing Management and Occupancy, Room 6148, Washington, DC 20420. Telephone: (202) 755-5756.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.168 LAND SALES—PARCELS OF SUBDIVIDED LAND

### (Interstate Land Sales Program)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Interstate Land Sales Full Disclosure Act, Title XIV of Public Law 90-448 (15 U.S.C. 1701) as amended by Public Law 96-153.

**OBJECTIVES:** To provide consumer protection through fraud prohibitions and requirements for full disclosure of conditions surrounding the purchase of subdivided land covered by the Act.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Developers who sell land consisting of 100 or more nonexempt lots any one of which is less than twenty acres in size using any means of interstate commerce or the mails must register with the Office of Interstate Land Sales Registration and must provide all purchasers with a copy of a Property Report which sets forth salient facts about the development and the developer. Failure to do so prior to signing a purchase agreement subjects the developer to statutory and regulatory penalties. The Act also provides for statutory and regulatory exemption from full disclosure where a subdivision meets strict eligibility requirements. Anti-fraud provisions of the Act are applicable to subdivisions of 25 lots or more. Other consumer protection provisions include a seven day cooling-off period and required contractual provisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Every person buying or leasing one or more lots in a registered subdivision covered by the Act is to be provided a copy of the Property Report before or at the time of sale.

**Beneficiary Eligibility:** Every purchaser of lots in covered subdivisions.

**Credentials/Documentation:** None required of the purchaser.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not required. Developers wishing to register a subdivision should contact Office of Interstate Land Sales Registration, Department of Housing and Urban Development, Washington, DC 20410.

**Application Procedure:** Developers file an extensive statement of record (including the Property Report) disclosing all pertinent facts about the land, its ownership, control, amenities, restrictions, nature of purchase or lease transaction, and other required information. Specific requirements set forth in Federal Register, Title 24, Chapter IX, Part 1710 as amended by Public Law 96-153.

**Award Procedure:** Unless filing is found unacceptable, becomes effective within 30 days.

**Deadlines:** Development must be registered before sales commence.

**Range of Approval/Disapproval Time:** Not applicable. Federal Government does not issue approval/disapproval of subdivision or offering.

**Appeals:** By developer of deficiency notice; of suspension order.

**Renewals:** Not applicable; however, material changes must be disclosed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Property Report must be furnished to all purchasers of lots in a registered subdivision. Aggrieved purchasers may have legal recourse against developer; U.S. Government may bring action against developers violating regulations or Act.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-5270-0-2-376.

**Obligations:** (Salaries and expenses) FY 81 $216,000; FY 82 est $171,000; and FY 83 est $171,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 2,114 filings of initial, consolidated, and amended registration statements, exemption advisory opinion, requests and other exemption filings were received and processed. Approximately 15,000 consumer complaints, inquiries and developer responses are handled each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations appear in the Code of Federal Regulations Title 24, Chapter IX as amended by Public Law 96-153.

**INFORMATION CONTACTS:** Publications, "Get the Facts", "Buying Lots From Developers." Annotated Sample Property Report and Exemption Guidelines.

**Regional or Local Office:** None.

**Headquarters Office:** Housing, Office of Interstate Land Sales Registration, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-5618.

**RELATED PROGRAMS:** 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.169 HOUSING COUNSELING PROGRAM

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Housing Act, (1934) (Public Law 73-479), as amended by Sections 101(a) and 102(a), Housing and Urban Development Act of 1968, (Public Law 90-448); Section 811 (a), Title I, Housing and Community Development Act of 1974 (Public Law 93-383), Title IX, Housing and Community Development Act of 1977 (Public Law 95-128).

**OBJECTIVES:** To counsel homeowners under HUD-assisted, and insured housing programs in order to assure successful homeownership and thereby prevent and reduce delinquencies, defaults and foreclosures.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To provide comprehensive housing counseling grants to HUD-approved counseling agencies which includes providing mortgage delinquency and default housing counseling services to housing consumers to assist them in meeting the responsibilities of homeownership. Agencies must be HUD-approved to participate in this program. Special grants on a limited basis are made to organizations regarding various aspects of housing counseling.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An applicant agency must be a public or private nonprofit agency and be of the following character: neighborhood organization, credit union, social services, credit and debt management, housing development corporation, economic development corporation, government agency (local, State or Federal), educational, religious, charitable, community action agency, cooperative tenant and homeowners association, legal services, planning commission, human resources and affairs, and housing boards.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant agencies must document on Form HUD-9900 that they comply with the applicant eligibility requirements for becoming HUD-approved in said form. Application must be HUD-approved before it is eligible for a grant. Agency must comply with requirements of Request For Grant Application issued from Headquarters. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications to become HUD-approved are given to applicant agency by the HUD Field Office during the pre-application meeting. Grant applications for housing counseling are mailed to HUD-approved counseling agencies from HUD Headquarters.

**Application Procedure:** Applications to become HUD-approved are approved by the HUD Field Office, except for State and Regional applications which are approved by Headquarters. Grant applications are submitted to HUD Headquarters for scoring by selected scoring team. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Grants are made directly by HUD-Headquarters to applicant agencies based on results of competitive review process.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Within 60 to 90 days to become a HUD-approved counseling agency.

**Appeals:** None.

**Renewals:** Hud-approved counseling agencies are given an annual performance review by the local HUD Field Office to retain status as a HUD-approved counseling agency.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantees are expected to obtain funding from other resources, as HUD funding can only partially support the costs of housing counseling activities of the grantees.

**Length and Time Phasing of Assistance:** Funding assistance is for a discrete period of time, generally 1 year. Grantees bill HUD on a monthly basis. Payments of grant funds are subsequently made to grantees via Treasury check.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grantees must file monthly activity reports as well as final report pursuant to grant document.

**Audits:** None routinely required but may be required as needed.

**Records:** As required in grant document.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0156-0-1-506.

**Obligations:** (Grants) FY 81 $2,827,000; FY 82 est $3,500,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $5,000 to $9,380 for housing counseling grantees.

**PROGRAM ACCOMPLISHMENTS:** A total of 212 counseling agencies were funded during fiscal year 1981, and an estimated 47,000 clients were counseled.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grant application package is available at the start of each funding cycle.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the Director of Housing in HUD Regional Offices or the Chief of the Loan Management Branch in local HUD Field Offices. Offices are listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Single Family Housing, Single Family Servicing Division, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-6666.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.170 CONGREGATE HOUSING SERVICES PROGRAM

## (CHSP)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Congregate Housing Services Act of 1978, Title IV of the Housing and Community Development Amendments of 1978, Public Law 95-557; 42 U.S.C. 8001.

**OBJECTIVES:** To evaluate a new service delivery arrangement designed: 1) To prevent premature or unnecessary institutionalization of the elderly-handicapped, non-elderly handicapped, and temporarily disabled, 2) to provide a variety of innovative approaches for the delivery of meals and non-medical supportive services while utilizing existing service programs and 3) to fill gaps in existing service systems and ensure availability of funding for meals, and appropriate services needed to maintain independent living.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Project must include two meals per day, seven days per week and may also propose other supportive services essential for maintaining independent living subject to HUD approval. Projects must not duplicate services which are already affordable, accessible and sufficiently available on a long-term basis to project recipients.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants: (1) must be either a conventional public housing project as defined in Section 7 of the United States Housing Act of 1937, as amended, or housing for the elderly or non-elderly handicapped owned by a nonprofit corporation as defined by Section 202 of the Housing Act of 1959, as amended; (2) must have an accessible central dining facility; (3) must have a need for the program; (4) must be able to demonstrate a record of satisfactory management in housing or services for the elderly or non-elderly handicapped; (5) must have a record of satisfactory performance in areas of equal opportunity.

**Beneficiary Eligibility:** Eligible beneficiaries must be residents of the approved housing projects and be elderly (62 or over), non-elderly handicapped or temporarily disabled.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications must be submitted in accordance with the requirements and forms provided in the Request for Grant Application which are mailed upon request directly to potential applicants by HUD Headquarters. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are approved by the HUD Headquarters Office.

**Deadlines:** Periodic application deadlines will be announced by HUD. Contact the HUD Field Offices, Director, Housing Division, for further information.

**Range of Approval/Disapproval Time:** Within 60 to 90 days.

**Appeals:** None.

**Renewals:** At end of grant period, subject to the availability of future appropriations.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Applications are expected to maintain services currently being provided to project residents and to establish fees for program participants to pay all or part of the cost of the Congregate Housing Services Program services received.

**Length and Time Phasing of Assistance:** Assistance is for 3 to 5 years. Funds are made available through Treasury Check.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly or quarterly financial reports and a quarterly performance report as stated in OMB Circular No. A-110.

**Audits:** Annual and final audits required.

**Records:** As required by OMB Circular No. A-110 and grant document.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0178-0-1-604.

**Obligations:** (Grants) FY 81 $5,683,902; FY 82 est $4,100,000; and FY 83 est $3,550,000.

**Range and Average of Financial Assistance:** FY 79 $40 to $100,000; FY 80 est $50 to $80,000.

**PROGRAM ACCOMPLISHMENTS:** Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:** To be developed.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact Neighborhood and Consumer Affairs Representative or Director of Housing in appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Congregate Housing Services Branch, Office of Multifamily Development, Housing, Department of Housing and

Urban Development, Washington, DC 20410. Telephone: (202) 755-6528.

**RELATED PROGRAMS:** 13.635, Special Programs for the Aging—Title III, Part C—Nutrition Services.

**EXAMPLES OF FUNDED PROJECTS:** Examples of Congregate Housing Services Program; (1) a public housing development where 35 residents are being included in the program. Lunch and Dinner served seven days a week. Other services include housekeeping, personal assistance and transportation; (2) an Indian public housing development where 33 residents are being served. Three meals are being provided daily. Other services include housekeeping and personal assistance; (3) A 200 unit Section 202 development where 60 residents are being included. Breakfast and supper served Monday through Friday, lunch and supper served on weekends. Other services include housekeeping, escort and personal assistance; (4) A 48 unit handicapped development where 48 residents are included. Services include two meals daily, transportation, personal assistance and housekeeping; (5) A 158 unit Section 202 development where 33 residents are being served. Lunch and dinner served daily. Other services include housekeeping, personal care, transportation and counseling.

**CRITERIA FOR SELECTING PROPOSALS:** Published in the Request for Grant Application for each application period.

## 14.171 MANUFACTURED HOUSING—MOBILE HOME CONSTRUCTION

### (Manufactured Housing)

**FEDERAL AGENCY:** HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** National Manufactured Housing Construction and Safety Standard Act, Title VI of Public Law 93-383; 42 U.S.C. 5401, et seq., as amended by Public Laws 95-128 and 96-399.

**OBJECTIVES:** To improve the safety, quality, and durability of manufactured (mobile) homes and provide consumer protection through enforcement of standards and investigation of complaints.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Manufacturers who build maufactured homes subject to the Act must comply with construction and safety standards. Plans for homes are reviewed for compliance, and homes are inspected during construction by HUD-approved third-party inspection agencies. Consumers receiving defective homes have recourse ranging from the right to be notified that their home contains a defect to the right to a refund or exchange home in extremely serious cases. Dealers are prohibited from selling homes in which they know there exists a failure to conform to the standards.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Every person purchasing a new manufactured (mobile) home built on or after June 15, 1976 for residential use is automatically covered by the program.

**Beneficiary Eligibility:** Every purchaser of a residential manufactured (mobile) home built on or after June 15, 1976.

**Credentials/Documentation:** None required for the purchaser.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not required.

**Application Procedure:** Manufacturers must have plans for each model unit to be produced, reviewed, and approved by a HUD-approved third-party inspection agency. Home must be inspected during at least one phase of construction by third-party inspector.

**Award Procedure:** Unless defects are found in plans or home, manufacturer may label and sell the unit.

**Deadlines:** Home must bear manufacturer's certification label certifying compliance with the standards before the home is sold to retail purchaser.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Manufacturer may appeal preliminary determination.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** No records required of purchaser.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-5271-0-2-376.

**Obligations:** (Salaries and expenses) FY 81 $5,707,000; FY 82 est $5,827,000; and FY 83 est $6,632,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Since 1976, an average of 254,000 mobile homes have been produce each year subject to the Federal Standards. Each year approximately 450 consumer complaints are handled by HUD, and an additional 6,000 to 7,000 are handled by State Administrative Agencies participating in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Safety and Construction Standards appear in the Code of Federal Regulations, 24 CFR 3280, et seq. Procedural and Enforcement Regulations appear in the Code of Federal Regulations, 24 CFR 3282, et seq.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Housing, Office of Manufactured Housing and Consturction Standards, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-5718.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.207 NEW COMMUNITIES—LOAN GUARANTEES

### (Title VII Guarantees)

**FEDERAL AGENCY:** NEW COMMUNITY DEVELOPMENT CORPORATION, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Title VII, Housing and Urban Development Act of 1970 (Urban Growth and New Community Development Act of 1970); Public Law 91-609, and Title IV of the Housing and Urban Development Act of 1968.

**OBJECTIVES:** To encourage the development of well-planned, diversified, and economically sound new communities, including major additions to existing communities.

**TYPES OF ASSISTANCE:** Loan Guarantees/Grants.

**USES AND USE RESTRICTIONS:** Eligible costs which may be financed with the proceeds of a guaranteed loan for real property acquisition and land development include those incurred as part of a new community development project. Eligible costs for land development include clearing and grading land, installing and constructing water lines and water supply systems, sewage, roads, streets, drainage facilities and other preparation of land for residential, commercial, industrial, and other uses, including construction of public facilities. Other buildings are not eligible costs unless needed in connection with water supply or sewage disposal installation or a utility line, or unless the building is to be owned and maintained by residents of the new community under joint or cooperative arrangements. Development must be in accord with comprehensive areawide planning, and must preserve and enhance the environment, contribute to the welfare of the area of which it is part, provide substantial amounts of low and moderate income housing, encourage innovation and the use of new technology, and provide adequate public, community and commercial facilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private new community developers and public land development agencies (including State, local, or regional public bodies) which are authorized to act as developers for new community development programs under State or local law. However, obligations of public land development agencies may not be guaranteed if the income from such obligations is exempt from Federal taxation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The developer must provide information on areawide planning and development; the internal development plan; the mix of low and moderate income housing; affirmative action program for equal opportunity; economic feasibility studies; financial plan; appraisal of the value of the real property; social elements; and background and capability of developer.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** (Applications were not being accepted as of March 1982) Developers are required to submit a preapplication proposal prior to a full application. After staff review to determine general feasibility of project, HUD may accept submission of a full application. Once HUD has indicated an intent to accept an application, but before the formal application is submitted, the developer must comply with the procedures in Part I of Office of Management and Budget Circular No. A-95 (revised). Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). NEPA requirements concerning environmental impact statements must be completed prior to an offer of commitment.

**Application Procedure:** (Applications were not being accepted as of March 1982) Initial contacts by developers should be made with the New Community Development Corporation in Washington. Subsequent contacts regarding preapplication proposals, conferences, applications, drafting of project agreements and trust indentures, will also be with the New Communities Development Corporation in Washington.

**Award Procedure:** (Applications were not being accepted as March 1982) Once a determination is made that a project meets the requirements of the law, the Secretary (acting through the New Community Development Corporation) will make an offer of commitment to guarantee up to a certain amount of developer obligations. The developer must accept the offer of commitment within 120 days and pay the commitment fee. A Trust Indenture and Project Agreement including a Development Plan are then negotiated. Pursuant to these contracts, the developer's obligations are guaranteed, issued, and sold.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Preapplication, 60 to 90 days: Application, 90 to 120 days.

**Appeals:** If the Department discourages an application after review of the preapplication proposal, or rejects an application after review, the applicant may resubmit the proposal or application with revisions which are designed to meet the objectives of the Department.

**Renewals:** If a developer does not accept the offer of commitment within 120 days the offer expires, but may be reopened by payment of a reopening charge and acceptance by the Secretary.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount of guarantee cannot exceed $50,000,000 for any single project. In the case of public land development agencies, guarantees for the principal obligation cannot exceed 100 percent of the Secretary's estimate of the value of real property before development and the estimate of the cost of land development. For private developers, guarantees may not exceed the sum of 80 percent of the estimated value of real property before development and 90 percent of the estimated cost of land development.

**Length and Time Phasing of Assistance:** Not limited by law.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monitoring, evaluation, and progress reporting are required. Monthly Status Reports must be submitted. The developer is required to submit annually updated development plans that cover 1, 3, and 20 year periods. Individual project agreements may contain special reporting requirements.

**Audits:** Department representatives have access to the project site at all reasonable times for purposes of inspection and, together with the General Accounting Office, have access to all records. Annual independent audits are required.

**Records:** Complete financial records must be maintained by the developer and contractors and subcontractors.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4237-0-3-451.

**Obligations:** (Commitments) FY 81 est $0; FY 82 est $0; and FY 83 est $0. (All money has been committed and no applications are being accepted).

**Range and Average of Financial Assistance:** $7,500,000 to $50,000,000; $23,000,000.

**PROGRAM ACCOMPLISHMENTS:** Of the 13 new communities projects, 9 of the projects have been or are being liquidated. Some 51,630 persons reside in new communities projects in 18,056 dwelling units, of which 4,932 are for low and moderate income families and persons. Projects contain 20,325 jobs. These figures include 3 projects in addition to the 13, approved by the Department but for which there are no loan guarantees. In spite of their problems, Title VII new towns have been successful in racial and economic integration, environmental and physical planning, innovation in governmental and community organizations, transportation, and energy conservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Regulations, February 14, 1977 Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** General Manager, New Community Development Corporation, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, DC 20410. Telephone: (202) 755-7920.

**RELATED PROGRAMS:** 14.125, Mortgage Insurance—Land Development and New Communities; 14.153, Mortgage Insurance—Experimental Projects Other Than Housing; 14.211, Surplus Land for Low and Moderate Income Housing; 14.219, Community Development Block Grants/Small Cities Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.211 SURPLUS LAND FOR LOW AND MODERATE INCOME HOUSING

### (Section 414 Surplus Land Program)

**FEDERAL AGENCY:** OFFICE OF SURPLUS LAND AND HOUSING, NEW COMMUNITY DEVELOPMENT CORPORATION, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing and Urban Development Act, of 1969, Section 414, Public Law 91-152; 83 Stat. 400; 40 U.S.C. 484, as amended.

**OBJECTIVES:** To make Federal surplus land and/or property available at fair value for use which will be used predominately for low or moderate income housing and related commercial and industrial use. The housing must be assisted by Federal housing assistance programs or State or local programs.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Federal real property sold or leased under this program must be predominately used for housing for persons of low and moderate income and related public, commercial, and industrial facilities. Such real property can be sold or leased to public and private entities for an amount equal to its fair value for use instead of its fair market value. The housing developed shall be assisted by a Federal housing assistance program or a State or local program having the same general purpose as the Federal programs. If the surplus property is sold or leased from HUD directly by a private entity, then that entity must agree to use the transferred property for the above stated uses for at least 30 years.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** City, county, and State governments and private applicants.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Authority and capability to act as sponsor for the proposed development.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Letter of request from applicant for HUD requesting assistance indicating the property under consideration and the proposed development envisioned.

**Application Procedure:** Formal letter of request, accompanied by detailed housing plans, public body resolutions, etc., that HUD secure property for disposal under applicable authorization. HUD (a) determines that assistance under applicable housing programs is available for planned development, (b) determines fair value for intended use, (c) requests General Services Administration to transfer property to HUD for disposal, and (d) if GSA transfers property, HUD sells or leases land for proposed development. This processing will be coordinated with HUD and GSA field offices.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4237-0-3-451.

**Obligations:** No specific funds are made available for operation of this activity.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Since enactment of the statutory authorization in 1969, seven tracts of surplus property have been made available for development of low and moderate income housing and related facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** No regulations have been prepared, but an information packet explaining the program in more detail is available from HUD.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Office of Surplus Land and Housing, New Communities Development Corporation, Department of Housing and Urban Development, 451 Seventh St., S.W., Washington, DC 20410. Telephone: (202) 755-1862.

**RELATED PROGRAMS:** 13.676, Surplus Property Utilization; 14.146, Low Income Housing—Assistance Program; 14.147, Low Income Housing—Home Ownership for Low Income Families; 39.002, Disposal of Federal Surplus Real Property.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.218 COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS

**FEDERAL AGENCY:** COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Title I of the Housing and Community Development Act of 1974, Public Law 93-383 as amended by the Housing and Community Development Act of 1977, Public Law 95-128 and the Housing and Community Development Amendments of 1978, Public Law 95-557; the Housing and Community Development Amendments of 1979, Public Law 96-153; Housing and Community Act of 1980, Public Law 96-9390; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35; 42 U.S.C.-5301-5317.

**OBJECTIVES:** To develop viable urban communities, including decent housing and a suitable living environment, and expand economic opportunities, principally for persons of low and moderate income.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Localities may undertake a wide range of activities directed toward neighborhood revitalization, economic development, and provision of improved community facilities and services. (The Block Grant Program consolidates seven former community development-type categorical programs, including Urban Renewal, Model Cities, Neighborhood Facilities, Open Space Land, Historical Preservation, Urban Beautification, the Basic Water and Sewer Facilities Program, Public Facilities Loans, and Rehabilitation Loans.) Some of the specific activities that can be carried out with block grant funds include acquisition of real property, relocation and demolition, rehabilitation of residential and nonresidential structures, and provisions of public facilities and improvements, such as water and sewer facilities, streets, and neighborhood centers. In addition, block grant funds are available to pay for public services within certain limits, and for activities relating to conservation and renewable energy resources. Units of local government may contract with other local agencies or nonprofit organizations to carry out part or all of their programs. Neighborhood-based nonprofit organizations, local development corporations or Section 301 (d) Small Business Investment Companies may act as subgrantees to carry out neighborhood revitalization or community economic development projects in furtherance of block grant objectives. Cities may provide assistance to profit motivated businesses to carry out economic development activities, and have the discretion to design programs and establish priorities for the use of funds, so long as the programs conform to the statutory standards and program regulations. All projects or activities must either principally benefit low and moderate-income persons, aid in the prevention or elimination of slums and blight or meet other community development needs having a particular urgency.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Cities in SMSA's with populations in excess of 50,000, "urban counties," as defined in the Act, and cities with populations of under 50,000 which are central cities in SMSA's are all entitled to receive amounts of funds determined by a statutory formula.

**Beneficiary Eligibility:** The primary beneficiaries with grant recipient government units are low and moderate income residents, (generally defined as families with less than 80 percent of the median family income).

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A grantee is required to prepare a proposed statement of community development objectives and projected use of funds; provide information to citizens on the amount of CDBG funds available and the range of community development and housing activities that may be undertaken; hold at least one public hearing on the grantee's community development and housing needs; publish the proposed statement in a manner to afford affected citizens an opportunity to submit views and comments prior to the preparation of the final statement; prepare final statement of community development objectives and proposed use of funds.

**Application Procedure:** In order to receive its annual entitlement grant a grantee must submit required certifications including one that it is following a Housing Assistance Plan (HAP) approved by HUD, and a copy of its final statement of community development objectives and projected use of funds to HUD. If the grantee makes a complete submission of all requirements within the established deadlines, the Department will make a full grant award unless the Secretary has made a determination that the grantee performance is unsatisfactory. The Secretary will make a full grant award generally within 30 days of receipt of the final submission unless a determination has been made that the grantee has failed to carry out its previously approved programs in a timely manner or failed to conform with the requirements of the statute and other applicable laws. Under such circumstances, the Secretary will make appropriate reductions in the amount of the final grant. Every third year, localities submit a Housing Assistance Plan. Each year localities submit an Annual Housing Action Program.

**Award Procedure:** Applications are approved in the HUD Area Office. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications must be submitted according to the schedule in the published regulations.

**Range of Approval/Disapproval Time:** Generally within 30 days.

**Appeals:** None.

**Renewals:** A statement must be submitted each year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Entitlements are based on a dual formula under Section 106 of the Act (24 CFR 570, Subpart D) using population factors. Each metropolitan city and urban county is entitled to receive an amount equaling the greater of the amounts calculated under two formulas. The factors involved in the first formula are population, extent of poverty and extent of overcrowding, weighted 0.25, 0.50, and 0.25, respectively. The factors involved in the second formula are growth lag, poverty, and age of housing, weighted 0.20, 0.30, and 0.50, respectively. No matching requirement. This program has maintenance of effort (MOE) requirements, see funding agency for further details. The statistical factors used for fund allocation are (1) total resident population for all places in nation from the source P-25, Census; (2) number of persons with incomes below the poverty level from the source 1970 Census; (3) number of housing units with 1.01 or more persons per room from the source 1970 Census; (4) age of housing; number of year-round housing units built in 1939 or earlier from the source 1970 Census; (5) growth lag: computed from population in 1960 and current period from the source 1960 Census; P-25, Census. Statistical factors used for eligibility are (1) metropolitan city; central city of SMSA or city within SMSA with 50,000 population from the source Census SMSA; (2) urban county; generally, counties in SMSA having a net population of 200,000 or more outside entitlement cities from the source Census SMSA.

**Length and Time Phasing of Assistance:** Assistance is for an annual program of activities but activities generally may be continued beyond one year until completed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Performance Report.

**Audits:** Audits are made or arranged for by the recipients with reasonable frequency, but not less frequently than once every two years, following guidelines for financial and compliance audits of federally assisted programs and OMB Circular A-102, Attachment P.

**Records:** The applicant must maintain records with regard to financial management, citizen participation, relocation, other resources, acquisition, equal opportunity, environmental impact, labor standards and any other requirement set forth in regulations. Records shall be retained for three years from the date of submission of the annual performance report, except as otherwise prescribed in the published regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0162-0-1-451.

**Obligations:** (Grants) FY 81 $2,720,300,000; FY 82 est $2,645,000,000; and FY 83 est $2,405,950,000.

**Range and Average of Financial Assistance:** Determined by formula.

**PROGRAM ACCOMPLISHMENTS:** There were 643 approved CDBG entitlement grants for fiscal year 1981. There are 732 units of local government eligible to apply during fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate HUD Area Office (or Regional Office in Region VIII) listed in Appendix IV.

**Headquarters Office:** Entitlement Cities Division, Office of Block Grant Assistance, Community Planning and Development, 541 7th Street, S.W., Washington, DC 20410. Telephone: (202) 755-6587.

**RELATED PROGRAMS:** 14.219, Community Development Block Grants/Small Cities Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.219 COMMUNITY DEVELOPMENT BLOCK GRANTS/SMALL CITIES PROGRAM

### (Small Cities)

**FEDERAL AGENCY:** COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Title I of the Housing and Community Development Act of 1974, Public Law 93-383, 42 U.S.C. 5301 - 5317, as amended.

**OBJECTIVES:** To be eligible each activity must directly impact on the applicant's need and must either: (1) benefit low- and moderate income persons, or (2) aid in the prevention or elimination of slums or blight; or (3) meet other community development needs having a particular urgency.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Generally, as in the case of entitlement grants, most activities previously eligible under the categorical program consolidated under the Act, and defined by the statute and regulations may be carried out, i.e., acquisition, rehabilitation or construction of certain public works facilities and improvements, clearance, housing rehabilitation, code enforcement, relocation payments and assistance, administrative expenses, economic development, and completing existing urban renewal projects. Communities are restricted from constructing or rehabilitating public facilities for the general conduct of government and certain community wide facilities, i.e., central libraries, stadiums, sports arenas, cultural centers, convention centers; and from underwriting the cost of constructing new housing or of making housing allowance or other income maintenance-type payments. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Under the CDBG Program/State Program (14.228) each State may now elect to administer all aspects of the Small Cities Program for the nonentitlement communities within its jurisdiction. However, HUD will continue to administer the Small Cities Program in States not electing to do so. In States where HUD administers the Program, eligible applicants are States and units of general local government (including counties), except metropolitan cities, urban counties or units participating in an urban county's CDBG program, and Indian tribes eligible for assistance under Section 107(a)(3) of the Act.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** The application will be reviewed to assure that it meets all requirements of the regulations. The application will also be rated and ranked under the selection criteria and applicants funded to the extent funds permits.

**Award Procedure:** Applicants are advised of ranking and selection by the Area Office.

**Deadlines:** HUD shall establish deadlines for submission of applications by publication of a Notice in the Federal Register.

**Range of Approval/Disapproval Time:** Although not required by Statute, HUD Area offices will attempt to review, rate, and rank applications within 75 days

**Appeals:** None.

**Renewals:** There are no automatic renewals. Complete new applications must be undertaken.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Statistical factors used to determine each State's allocation: population, poverty, extent of housing overcrowding, age of housing. (The amount of nonentitlement funds allocated to a State is not affected by whether the State or HUD administers the funds in that State.)

**Length and Time Phasing of Assistance:** Competition is held on an annual basis, but it is not unusual for a single purpose or a comprehensive program to take more than 12 months to complete, depending on activities undertaken.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Performance Assessment Report and Financial Reports.

**Audits:** Periodic audits should be made, these audits must take place at least every two years or at the completion of the program.

**Records:** All information on grants must be kept.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0162-0-1-451.

**Obligations:** (General purpose discretionary) FY 81 $796,000,000; FY 82 est $955,025,000; and FY 83 est $1,019,820,000.

**Range and Average of Financial Assistance:** In fiscal year 1981, averages were approximately - $388,000 for Single Purpose and $585,000 for Comprehensive. Grants range from less than $100,000 to over $1,000,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1980, approvals totaled approximately 2,162, for the Small Cities Program and fiscal year 1981 approvals totaled approximately 2,100 for the Small Cities Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate HUD Area Office (or Regional Office in Region VIII) listed in the Catalog appendix.

**Headquarters Office:** Small Cities Division, Office of Block Grant Assistance Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410.

**RELATED PROGRAMS:** 14.218, Community Development Block Grants/Entitlement Grants; 14.228, Community Development Block Grants/State's Program.

**EXAMPLES OF FUNDED PROJECTS:** Neighborhood revitalization projects emphasizing rehabilitation of private homes, and including appropriate improvements of public facilities; economic development projects for expanded employment opportunities; and projects to address serious deficiencies in public facilities such as water and sewer.

**CRITERIA FOR SELECTING PROPOSALS:** The program is competitive and the demand for grants far exceeds the available funds. Applications are ranked in accordance with a national rating system to ensure that grants are fairly and equitably awarded. Applicants are funded based on the final ranking of the application, to the extent funds are available. Rating factors consist of: absolute number and percent of poverty persons; impact of the proposed programs; and outstanding past performance in meeting basic national objectives in the area of housing and equal opportunity.

## 14.220 SECTION 312 REHABILITATION LOANS

## (312)

**FEDERAL AGENCY:** COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1964, as amended, Section 312; Public Law 88-560; 42 U.S.C. 1452B.

**OBJECTIVES:** To promote the revitalization of neighborhoods by providing funds for rehabilitation of residential properties having five or more dwelling units and for rehabilitation of homestead properties and other single-family properties in HUD-approval Urban Homesteading areas.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** These loans may be used to finance the rehabilitation of property located in federally assisted code enforcement areas, urban renewal areas, Community Development Block Grant (CDBG) areas, and Section 810 Urban Homesteading areas. Properties at a minimum, must be brought up to local code standards. Loans are made available on a sliding scale of 3, 6 or 9 percent for single family (1-4 units) properties and 11 percent for multi-family (5 or more units) and other investor-owned properties. The program is administered by the local government or its designee. Unless half or more of the cost of rehabilitation is financed from non-public funds, interest will be 5 percent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Residential property owners in eligible neighborhood development, urban renewal, code enforcement areas, Community Development Block Grant areas and Section 810 Urban Homesteading Areas. Applicant must have ability to repay loan and security offered for loan must be adequate. Priority in receipt of program assistance is provided to applicants who are low to moderate income owner - occupants or to investor-ownes of buildings which will be for low-moderate income persons. For multifamily properties that are in low-moderate income neighborhoods that are otherwise eligible or for properties with more than half their initial tenants of low-and moderate income.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of eligibility for a loan is necessary.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit the appropriate forms listed below to the local agency sponsoring the program: HUD 6230 (loan on owner-occupied one-to-four-unit residential property) or HUD 6243 (loan for investor-owned residential property or mixed-use loan).

**Award Procedure:** Applications are approved by HUD field offices, or in some cases, by local public agencies, subject to fund availability.

**Deadlines:** Application must be submitted while federally assisted project is being carried out.

**Range of Approval/Disapproval Time:** Average time of 10 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Priority given to communities using Community Development Block Grants (CDBG) for housing rehabilitation. Multifamily funds are allocated to area offices by formula based on three factors - community development and housing need, priority being placed on rehabilitation. Funds to support Urban Homesteading Programs are allocated to localities based upon need and past use of Section 312 funds for support of homesteading programs.

**Length and Time Phasing of Assistance:** Loans have up to 20-year maturity; no time phasing.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None from the local public agencies. Progress of program using loans must be submitted monthly by the HUD field offices.

**Audits:** None.

**Records:** Records of all information on loans must be kept.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-4036-0-3-451.

**Obligations:** (Loans) FY 81 $84,522,000; FY 82 est $68,000,000; and FY 82 est Not identifiable. (Termination of the program has been requested by the Reagan Administration and FY 81 appropriated funds were rescinded by Congressional action; however, Congressional action has authorized continuation of the program through FY 82 on loan repayments.)

**Range and Average of Financial Assistance:** Loan Limit Maximum of $27,000/Dwelling Unit. Budget projections for FY 82 -- average of $18,900/loan for single-family loans, average of $162,000/loan for loans on multifamily residential property.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,320 loans were approved, financing the rehabilitation of 5,902 dwelling units. More than 500 localities received program assistance in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rehabilitation Financing, Handbook 7375.1 REV. "Rehabilitation Financing Handbook", Section 312 Rehabilitation Loan Program Legislative Amendments, 24 CFR Part 510.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate HUD Area or Regional Office listed in the Catalog address appendix.

**Headquarters Office:** Community Planning and Development, Office of Urban Rehabilitation, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 755-5970 or 5324.

**RELATED PROGRAMS:** 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.221 URBAN DEVELOPMENT ACTION GRANTS

**FEDERAL AGENCY:** COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Title I of the Housing and Community Development Act of 1974, Public Law 93-383, 42 U.S.C. 5301-5317, as amended by Title I of the Housing and Community Development Act of 1977, Section 110, Public Law 95-128, 42 U.S.C. 5304 and as amended by Title I of the Housing and Community Development Amendments of 1979, Public Law 96-153; Housing and Community Development Act of 1980, Public Law 96-9390; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To assist severely distressed large and small cities and urban counties (including Guam, Virgin Islands and Indian Tribes) and non-distressed cities containing pockets of poverty in alleviating economic deterioration development activity by means of increased public and private investment in order to aid in economic recovery to strengthen the economic, employment and tax bases of these cities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants must be in support of discrete projects for economic development. In addition to activities eligible under the Community Development Block Grant program (except as noted below), assistance may be used for other economic development activities including new housing construction when other resources are not adequate. No assistance may be provided for projects intended to facilitate the relocation of industrial or commercial plants or facilities from one area to another unless the Secretary finds that such relocation does not significantly and adversely affect the unemployment level or economic base of the areas from which such industrial or commercial plant or facility is to be relocated. Metropolitan cities and urban counties may not use action grant assistance for planning the project or developing the application; however, small cities may be reimbursed for their planning costs up to 3 percent of their grant. Funds may not be used for public services. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are distressed cities and distressed urban counties which meet the following criteria specified in Section 570.452 of the regulations: a) Minimum standards of physical and economic distress; b) demonstrated results in providing housing for persons of low and moderate income; and c) demonstrated results in providing equal opportunity in housing and employment for low and moderate income persons and members of minority groups. Those cities and urban counties which do not qualify as distressed communities but which contain pockets of poverty may qualify for the program by meeting the criteria of Section 570.466 pertaining only to pockets of poverty.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The applicant is required to submit a SF 424, (as modified by HUD), Request for Determination of Eligibility. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is required for this program.

**Application Procedure:** Prior to submission of applications to the Area Office, eligible applicants must complete the following: a) obtain a determination of eligibility to apply; b) citizen participation; and c) a level of clearance finding under environmental review procedures. Applications include a project description, evidence of private commitments, a schedule, certifications and other items specified in the regulations, and must be submitted on forms prescribed by HUD. No application will be approved unless there is a firm comitment of private resources to the proposed project.

**Award Procedure:** Applications are given preliminary approval by HUD Headquarters. Grantees receive a grant agreement specifying the terms and conditions for use of Action Grant funds. No funds can be drawn down until environmental requirements have been met, and legally binding commitments from the private sector have been submitted to and approved by HUD.

**Deadlines:** Metropolitan cities and urban counties: first month of each quarter (January, April, July and October). Small cities: second month of each quarter (February, May, August, and November).

**Range of Approval/Disapproval Time:** Within 60 days following the deadline for submission of applications.

**Appeals:** Applications will generally be held for consideration for two quarters.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Projects which include financial assistance from the State or other public entities will receive more favorable consideration. Other public resources may be provided by matching other Federal grants, or by firm commitments or other Federal or local resources. No activities will be funded unless there is a firm commitment of private resources to the proposed project. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors for allocation do not apply for this program. The statistical factors used for eligibility are (1) age of housing-; (2) poverty (3) current population lag/decline (4) per capita income where data is available and (6) unemployment.

**Length and Time Phasing of Assistance:** Assistance is for a discrete project which can be completed in approximately 4 years. No additional funding will be available in subsequent years to complete a project approved in a prior year. Funds are made available through a Letter of Credit.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Quarterly progress reports submitted to area and headquarters offices by 10th day following the end of each quarter.

**Audits:** Reviews and audits are made or arranged for by the recipients with reasonable frequency, but not less frequently than once a year, following audit guidelines prescribed by HUD.

**Records:** The applicant must maintain records with regard to financial management, citizen participation, relocation, other resources, equal opportunity, environmental impact, labor standards, and any other requirements set forth in regulations.

FINANCIAL INFORMATION:

**Account Identification:** 86-0162-0-1-451.

**Obligations:** (Grants) FY 81 $740,548,000; FY 82 est $675,000,000; and FY 83 $440,000,000.

**Range and Average of Financial Assistance:** There is no minimum or maximum amount in the Action Grant Program. FY 81 small cities average: $981,000; FY 81 large cities average: $2,047,000.

**PROGRAM ACCOMPLISHMENTS:** Third Annual Report to Congress available in March 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 570.450Off.

INFORMATION CONTACTS:

**Regional or Local Office:** Contact appropriate HUD Area Office (CPD Division) (or Regional Office in Region VIII), listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Urban Development Action Grants, Community Planning and Development, HUD, 451 7th St., S.W., Washington, DC 20410. Telephone: (202) 472-3947.

**RELATED PROGRAMS:** 14.219, Community Development Block Grants/Small Cities Program.

**EXAMPLES OF FUNDED PROJECTS:** Examples of funded projects are as follows: a. Boston, Massachusetts. The City has received preliminary approval of an action grant to assist in the development of the Crosstown industrial project located between the Archer and Roxbury neighborhoods. Community Development Corporation (CDC), a local development corporation, will construct a new manufacturing facility to house the expansion of Healthco, Inc., creating 200 new permanent jobs and retaining an additional 130 jobs. The action grant of $1,585 thousand to the City of Boston is to be used for land acquisition, relocation, demolition, and site preparation. The property then will be transferred to CDC, which will utilize a $5 million industrial revenue bond issue, grant funds from the Economic Development Administration, and City general obligation bonds to construct a 160,000 square-foot facility to be leased by Healthco. The City will contract with Opportunities Industrialization Centers and the local CETA agency to recruit and train new workers. A minimum of one-third of all new permanent jobs will go to low-income and minority persons. b. Cressona, Pennsylvania. On May 7, 1979, HUD announced preliminary approval of an action grant of $3.3 million for the Borough of Cressona to be used as a loan from the Borough to the Cressona Aluminum Company. Together with loans from the Economic Development Administration, the State of Pennsylvania, and private financing, the action grant enabled the Cressona Aluminum Company to acquire, improve, and reopen an old Alcoa Aluminum extrusion plant that had closed two years before. As the plant builds to full operation and productivity, a total of 600 persons will be employed. Total private investment will exceed $15 million. Proceeds from the repayment of action grant funds, plus interest, will be shared by the Borough with other distressed communities and will be used for other economic development activities. c. San Antonio, Texas. On April 6, 1978, HUD announced preliminary approval of an action grant of $6.5 million to assist in land acquisition for a 522-room hotel, retail space (50 percent to be occupied by minority entrepreneurs), parking garage, and multilevel pedestrian walkway. This Alamo Plaza-Paseo del Rio linkage project will be part of a comprehensive revitalization of six blocks in the heart of San Antonio's historic downtown area. Groundbreaking for the hotel site occured during June 1979, and all components of the project are now completed. The Mexican-American Unity Council, an Hispanic community development corporation, will have an equity ownership in the hotel along with Ira Hardin Company and AFCO Realty Associates. The Council also will coordinate CETA employment referrals for positions in the hotel. A total of $37.1 million of private funds will be invested in the complex, generating 770 new permanent jobs.

**CRITERIA FOR SELECTING PROPOSALS:** A. Cities and Urban Counties. Proposals are funded on the basis of the following criteria. (1) The primary criterion is the comparative degree of physical and economic distress among applicants, as measured by the differences in the following factors, which are assigned relative weights as follows: (a) the percentage of their total housing stock that was built prior to 1940 (50 percent); (b) the percentage of their total current population that was in poverty in 1970 (30 percent); and (c) the degree to which their population growth rate lags behind that of all metropolitan cities (20 percent). (2) The comparative degree of physical and economic deterioration of applicants, including per capita income, unemployment, and job lag/decline. (3) The demonstrated performance of the applicant in carrying out housing and community development programs. (4) The impact of the proposed project on the employment base of the community, particularly jobs accessible to lower income persons and minorities. (5) The nature and extent of financial participation by private entities in the proposed project. (6) The extent of financial assistance to be made available by the State. (7) The nature and extent of financial participation by other public entities in the proposed projects. (8) The impact of the proposed project on the physical, fiscal, or economic deterioration of the community. (9) The feasibility of accomplishing the projects in a timely fashion within the total resources which will be provided. (10) The extent of minority business participation will have. (11) The impact of the project in increasing energy efficiency or conserving scarce fuels, and several other factors. B. Pockets of Poverty Communities. The Secretary will not use as the primary criterion the comparative degree of distress, but rather the comparative degree of distress among pockets of poverty as measured by the eligibility criteria for cities not meeting minimum standards, and by the comparative benefits to be provided to the low- and moderate-income residents of the pocket of poverty. Proposals for pockets of poverty will be considered separtely from those submitted by distressed cities and urban counties. However, the selection criteria of (3) through (11) above supplemented by additional criteria will be used to select projects for funding. Each project submitted by a jurisdiction eligible on the basis of a pocket of poverty must compare favorably on its own merits with any other action grant project to be selected for funding.

## 14.222 URBAN HOMESTEADING

**FEDERAL AGENCY:** OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing and Urban Development Act of 1974, Section 810, Public Law 93-383.

**OBJECTIVES:** To provide homeownership opportunities to individuals and families and revitalize neighborhoods.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** HUD provides one-to-four unit properties to units of general local government, States or their designated public agencies, for use in an Urban Homesteading Program. Homestead properties received from HUD, the Veterans Administration (VA) and/or the Farmers Home Administration (FmHA), must be conditionally conveyed without sustantial consideration. The localities are required to establish boundaries for Urban Homesteading Areas, in which properties to be homesteaded are located, and within which the jurisdiction has proposed to carry out stated programs of public improvements. Localities are also encouraged to homestead locally-owned properties. HUD also makes Section 312 rehabilitation Loans available to homesteaders, and other area property-owners as funding permits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and all units of general local government are eligible.

**Beneficiary Eligibility:** The criteria for the eligibility and selection of homesteaders are set locally.

**Credentials/Documentation:** The jurisdiction must have either Secretary-held, VA-held, FmHA-held, or suitable locally-owned properties available for homesteading. Authorization to use Section 810 funds may now be used to acquire VA and FmHA properties for local urban homesteading programs as authorized by the Housing and Community Development Act of 1979 (Public Law 96-153). Jurisdictions must also have the authority to accept properties from HUD without payment and to conditionally convey these properties without substantial consideration to homesteaders.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required.

**Application Procedure:** Applicants submit Standard Form 424 in accordance with Section 590.11(c) of the Urban Homesteading Regulations. Applicants also submit in accordance with Section 590.11(a) and (b) of the Regulations a description of their coordinated approach to neighborhood improvement. Applications are subject to State and areawide clearinghouses review according to the provisions of Part II of OMB Circular A-95 as modified by HUD Regulations. Upon approval by the Area office, an Urban Homesteading Agreement is executed with the applicant. The agreement may be amended during the program year and is renewable annually.

**Award Procedure:** Urban Homesteading Program applications are approved in the HUD Area Office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 60 calendar days from the date the application is accepted for review.

**Appeals:** None.

**Renewals:** The Urban Homesteading agreement with each jurisdiction is to be renewed annually on a Federal fiscal year basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Assistance is for an annual program of activities but activities may be continued beyond 1 year until completed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodically.

**Audits:** Biennially.

**Records:** The applicant must maintain records of program characteristics including financial and program management, citizen participation, inspections, repayment of HUD loans and other requirements set forth in regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0171-0-1-451.

**Obligations:** (Total Value of Property) FY 81 est $13,500,000; FY 82 est $13,467,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Distribution of funds to field offices is determined by formula. Regulations set limits on value of properties to be acquired for use in the program.

**PROGRAM ACCOMPLISHMENTS:** As of July 1981, in 94 cities, 5,113 formerly HUD-held properties had been transferred by HUD to localities for urban homesteading since the beginning of the program (790 in fiscal year 1980 and 816 through July in fiscal year 1981).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Administrative Regulations for the Urban Homesteading Program, 24 CFR, Part 590.

**INFORMATION CONTACTS:**

**Regional or Local Office:** HUD Area Office having jurisdiction in the locality.

**Headquarters Office:** Director, Division of Rehabilitation Management, Office of Urban Rehabilitation and Community Reinvestment, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-5970.

**RELATED PROGRAMS:** 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 14.220, Section 312 Rehabilitation Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.228 COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM

**FEDERAL AGENCY:** COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Title I, Housing and Community Development Act of 1974, as amended; Public Law 93-383, 88 Stat. 633, 42 U.S.C. 5301.

**OBJECTIVES:** The State's program must be designed to ensure that each activity it funds: (1) benefits low- and moderate-income persons; or (2) aids in the prevention or elimination of slums and blight; or (3) meets other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Each State may elect to administer Community Development Block Grant (CDBG) funds for areas which do not receive CDBG entitlement grants (14.218). In States which elect to administer the nonentitlement funds, HUD awards the formula grants to the States under the CDBG/State's Program. In States which do not elect to administer the nonentitlement funds, HUD awards competitive grants to units of general local government under the CDBG/Small Cities Program (14.219). Each State may use up to two percent of its grant to administer the program and must match each Federal dollar used for administration with a dollar of its own. Units of general local government, funded by the State may undertake a wide range of activities directed toward neighborhood revitalization, economic development, or provision of improved community facilities and services. Specific activities that can be carried out with block grant funds include acquisition of real property, relocation and demolition, rehabilitation of residential and nonresidential structures, and provision of public facilities and improvements, such as water and sewer facilities, streets, and neighborhood centers. In addition, block grant funds may be used to pay for certain public services within certain limits. Generally, communities are restricted from constructing or rehabilitating public facilities for the general conduct of government. Neighborhood-based nonprofit organizations, local development corporations or Small Business Investment Companies may act as subgrantees to carry out neighborhood revitalization or community economic development projects in furtherance of block grant objectives. For-profit business may be used as subgrantees to carryout economic development activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State governments. States must distribute the funds to units of general local government in nonentitlement areas.

**Beneficiary Eligibility:** Units of general local government in nonentitlement areas.

**Credentials/Documentation:** The Governor of the State must certify that with respect to nonentitlement areas the State will: (1) engage in planning for community development activities, (2) provide technical assistance, (3) obligate, from State resources, an amount equal to 10 percent of the State's allocation for community development activities, and (4) consult with local officials from nonentitlement areas in determining method for distributing funds. The State must submit a final statement which consists of its community development objectives and its method of distributing CDBG funds. The State must also certify that (1) it has met the statutory citizen participation requirements, (2) it will conduct its grant in conformance with the Civil Rights Act of 1964 and the Fair Housing Act of 1968, (3) its program will meet one of the three national objectives described under "OBJECTIVES", and (4) it will comply with all applicable laws.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit a Notice of Election, Final Statement and Certifications to HUD. The Final Statement must contain the State's community development objectives and the method by which the State will distribute funds.

**Award Procedure:** HUD will provide funds after the State submits its Final Statement and Certifications. HUD does not review the Final Statement.

**Deadlines:** Final Statement must be submitted by March 30th during the fiscal year in which the State will administer funds. However, for fiscal year 1982 the final statement must be submitted within 180 days of the efective date of Subpart I.

**Range of Approval/Disapproval Time:** HUD does not review for approval or disapproval.

**Appeals:** The procedure is described in regulations (24 CFR Part 570 Subpart I).

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Statistical factors used to determine each State's allocation of each State: population, poverty, extent of housing overcrowding, age of housing. (The amount of nonentitlement funds allocated to a State is not affected by whether the State or HUD administers the fund in that State.)

**Length and Time Phasing of Assistance:** Assistance provided on annual basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Report.

**Audits:** Secretary shall make audits as necessary or appropriate.

**Records:** Records must demonstrate that the State has met the requirements of the Title.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0162-0-1-451.

**Obligations:** (Grants) FY 81 $0; FY 82 est $0; and FY 83 est $1,019,850,000 (less amounts distributed in States which do not elect to administer nonentitlement funds.)

**Range and Average of Financial Assistance:** Amount determined by formula.

**PROGRAM ACCOMPLISHMENTS:** No documentation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR Part 570, Subpart I.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate HUD Area Office (or Regional Office in Region VIII) listed in the Catalog.

**Headquarters Office:** Small Cities Division, Office of Block Grant Assistance, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410.

**RELATED PROGRAMS:** 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program.

**EXAMPLES OF FUNDED PROJECTS:** New program, no projects funded yet.

**CRITERIA FOR SELECTING PROPOSALS:** All States are eligible if they meet the requirements outlined in Credentials/Documentation. States are responsible for determining the methods of distribution to their units of general local government in nonentitlement areas.

## 14.229 COMMUNITY DEVELOPMENT BLOCK GRANTS/SECRETARY'S DISCRETIONARY FUND

**FEDERAL AGENCY:** COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Section 107 of the Housing and Community Development Act of 1974, as amended.

**OBJECTIVES:** (A) Indian Community Development Block Grant Program: To provide assistance to Indian tribes and Alaska natives in the development of viable Indian communities. (B) Insular Areas Community Development Block Grant Program: To provide community development assistance to American Samoa, Guam, the Northern Mariana Islands, the Trust Territories of the Pacific and the Virgin Islands. (C) Technical Assistance Program: To help States, units of general local government, Indian tribes and areawide planning organizations to plan, develop and administer local community development block grant and urban development action grant programs.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements); Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** (A) Indian tribes and Alaskan natives may use block grants to improve the housing stock, provide community facilities and infrastructures, and expand job opportunities by supporting the economic development of Indian communities. Activities which are eligible for funding include housing rehabilitation programs, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects particularly those by nonprofit tribal organizations or local development corporations. Tribes and Alaskan natives are restricted from using block grants for construction and improvement of some public facilities (i.e., governmental facilities, stadiums, sports arenas, schools and educational facilities, airports), the purchase of equipment, general government expenses, operating and maintenance expenses, political activities, new housing construction, and income payments. (B) Applications for funding under the territories program must be in accordance with the regulations in Subpart F, relating to small city single purpose grants for applicants with a population of 25,000 or more. (C) Assistance may be used to transfer skills and knowledge in planning, developing and administering the Community Development Block Grant and Urban Development Action Grant programs from those individuals and institutions which possess them to eligible block grant entities and affiliated CDBG participants which need them. Must show how it will increase the effectiveness with which eligible block grant communities can use CDBG funds to meet community development national and local program objectives. May take several forms, such as the provision of written information, person-to-person exchange, seminars, workshops or training sessions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (A) Any Indian tribe, band, group, or nation, including Alaskan Indians, Aleuts, and Eskimos, and any Alaskan native village which is eligible for assistance under the Indian Self-Determination and Education Assistance Act or under the State and Local Fiscal Assistance Act of 1972. American Samoa, Guam, the Northern Mariana Islands, the Trust Territories of the Pacific and the Virgin Islands. (C) States, units of general local governments, Indian tribes, areawide planning organizations, universities, public interest groups, for-profit and nonprofit organizations, and any other entity which can demonstrate that it possesses the capability, skill, experience, facilities, techniques and commitment to provide technical assistance.

**Beneficiary Eligibility:** Indian tribes and Alaska natives, Insular Areas, entities participating or actively intending to participate in the planning, developing, or administering of a block grant or action grant program.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For the Indian and the Insular Area Community Development Block Grant Program, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is required for these programs.

**Application Procedure:** (A) Applicants must file a preapplication and if the preapplication ranks high enough under the selection criteria, an invitation to submit a full application will be issued. The full application will be reviewed to insure that it meets all requirements. (B) Proposals may be submitted in response to competitions and solicitations or as unsolicited proposals. The proposal is sent to the Director, Office of Policy Planning, Community Planning Development, 451 7th St., S.W. Room 7134, Washington, DC 20410. It must contain: 1) a brief transmittal letter; 2) a one-page abstract of the proposal; 3) a narrative statement describing the proposal in more detail; 4) a proposed budget; 5) a proposed quarterly and final report format; and 6) Form SF-424. (C) Applications may be submitted not later than 75 days prior to the end of the program year for discretionary grants for the full range of eligible activities described in Subpart C of the Community Development Block Grant regulations. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** (A) The respective HUD Office of Indian Programs or Anchorage Area Office is responsible for approval and for notification of the applicant. (B) The respective HUD Area Office is responsible for approval, and for notification of the applicant. (C) The Secretary has final approval authority; applicants are notified of acceptance or rejection.

**Deadlines:** (A) Deadlines are established by publication of a Notice in the Federal Register. (B) The deadline is 75 days prior to the end of the program year. (C) None.

**Range of Approval/Disapproval Time:** 30 to 45 days for preapplication; 60 to 75 days for full-application.

**Appeals:** None.

**Renewals:** A new application procedure is initiated for each renewal.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** (A) Assistance is available until project completion; and is generally released through a letter of credit. (B) Assistance is available until project completion, and is generally released through a letter of credit. (C) Generally, projects will be funded to operate one to two years. Assistance is released by quarterly reimbursement or a letter of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For the Indian and Insular Area Community Development Block Grant Programs, litigation, financial management, relocation and acquisition reports and on annual performance reports as required by the Secretary. For the Technical Assistance Program, quarterly and final financial and technical progress reports.

**Audits:** In accordance with the provisions of Attachment P to OMB Circular No. A-102, "Uniforn requirements for grants to State and local governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions"; and additional OMB guidelines.

**Records:** All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0162-0-1-451.

**Obligations:** (Allocations) FY 81 $101,920,000; FY 82 est $56,500,000; and FY 83 est $56,500,000.

**Range and Average of Financial Assistance:** Not available, new program.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Indian Community Block Grant Program received 294 applications and made 154 awards. The Insular Areas Community Development block Grant Program received five applications and made five awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 24 CFR 570 Subpart E, 24 CFR 571.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate HUD Area Office or Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Program Policy Development, Community Planning and Development, Department of Housing and Urban Development, 451 7th St., S.W., Washington, DC 20410. Telephone: (202) 755-6093.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not available, new program.

**CRITERIA FOR SELECTING PROPOSALS:** (A) Preapplications may be submitted by any eligible tribe. Preapplications are then rated and ranked by the Regional Office in accordance with a ranking system developed by that Region according to criteria set fourth in 24 CFR 570 Subpart E, 24 CFR 571. Full applications are invited based on the final ranking of the preapplications to the extent funds are available in that Region.

## 14.400 EQUAL OPPORTUNITY IN HOUSING (Fair Housing)

**FEDERAL AGENCY:** OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Civil Rights Act of 1968, Title VIII (Fair Housing); Public Law 90-284; 82 Stat. 73 - 81; 42 U.S.C. 3601 et seq., as amended by the Housing and Community Development Act of 1974; Public Law 93-383; 88 Stat. 728-9; 12 U.S.C. 1735f-5 and 42 U.S.C. 3605-6, 3631.

**OBJECTIVES:** To provide for fair housing throughout the United States.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Subject to legislative restrictions as to coverage, individuals are provided by law the right to choose housing suited to their needs and financial ability, in the area in which they desire to live without discrimination because of race, color, religion, sex, or national origin. Investigations are conducted into alleged violations and action is taken to conciliate the complaints. Conferences are held to explain the law and provide attorneys, developers and real estate brokers with recent court decisions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual aggrieved by a discriminatory housing practice because of race, color, religion, sex, or national origin, may file a complaint with the Department of Housing and Urban Development. An individual may file a suit in a Federal or local court seeking injunctive relief, actual damages, and not more than $1,000 in punitive damages, together with court costs and reasonable attorney fees. Litigation may be initiated, also, under certain conditions by the Attorney General.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Complaints may be sent to any HUD Regional or Area Office, any HUD Service Office, or to HUD's Washington office.

**Award Procedure:** None.

**Deadlines:** A complaint must be filed within 180 days of the alleged violation.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0144-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $4,652,114; FY 82 est $4,908,000; and FY 83 est $4,987,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** HUD received 3,039 Title VIII complaints in fiscal year 1980, 4,209 Title VIII complaints in fiscal year 1981 and anticipates receiving approximately 4,575 Title VIII complaints in fiscal year 1982. Technical assistance has been provided to private fair housing and citizens groups interested and involved in the problems of housing discrimination.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Your Housing Rights: Live Where You Want to Live."; Fair Housing, 24 CFR 105; Fair Housing Poster, 24 CFR 110; Advertising Guidelines for Fair Housing, 24 CFR 109; Recognition of Substantially Equivalent Laws, 24 CFR 115; Fair Housing Administrative Meetings, 24 CFR 106; Nondiscrimination and Equal Opportunity in Housing Under Executive Order 11063, 24 CFR 107; Racial, Sex and Ethnic Data, 24 CFR 100; Affirmative Fair Housing Marketing Compliance, 24 CFR 108; Affirmative Fair Housing Marketing, 24 CFR 200 Subpart M.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Regional Director for Fair Housing and Equal Opportunity in the appropriate HUD Regional Office listed in the Catalog address Appendix IV or any HUD Area or Service Office.

**Headquarters Office:** Assistant Secretary for Fair Housing and Equal Opportunity, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 755-7252. Toll-free number for filing complaints: (800) 424-8590.

**RELATED PROGRAMS:** 16.103, Fair Housing and Equal Credit Opportunity; 16.200, Community Relations Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.401 FAIR HOUSING ASSISTANCE PROGRAM (FHAP)

**FEDERAL AGENCY:** OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Civil Rights Act of 1968, Title VIII (Fair Housing); Public Law 90-284; 82 Stat. 73-81; 42 U.S.C. 3601, et seq., as amended by the Housing and Community Development Act of 1974; Public Law 93-383; 88 Stat. 728-9; 12 U.S.C. 1735f-5 and 42 U.S.C. 3605-6-3631.

**OBJECTIVES:** To provide to those agencies to whom HUD must refer Title VIII complaints both the incentives and resources required to develop an effective workforce to handle complaints and provide technical assistance and training to assure that HUD referred complaints are properly and efficiently handled.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Provision of financial assistance will be made for capacity building and training to assure that State and local agencies have the resources, skills and technical knowledge required for an effective law enforcement program. Support for development and improvement of comprehensive automated data processing systems and for determining the nature and extent of discrimination in a jurisdiction is also provided for, and finally, financial assistance is also provided for specialized projects conducted by State and local agencies and for the development of improved administrative processes or legal authorities. All money must be used for projects that address or have relevance to matters affecting fair housing that are cognizable under Title VIII.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments administering State and local fair housing laws and ordinances which have been recognized by HUD as providing substantially equivalent rights and remedies to those provided by Title VIII of the Civil Rights Act of 1968, and which have executed formal Memoranda of Understanding with HUD to process Title VIII complaints.

**Beneficiary Eligibility:** Any person or group of persons aggrieved by a discriminatory housing practice because of race, color, religion, sex on national origin.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal Agency and required by OMB Circular No.

A-102 must be used for this program. An application kit will be automatically forwarded to all jurisdictions which have been recognized as substantially equivalent or which have been proposed for recognition in the Federal Register.

**Application Procedure:** Same as Preapplication Coordination. Applications must be submitted in accordance with the requirements and forms provided in the application kit available from Headquarters Office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Applications are approved by HUD Headquarters Office.

**Deadlines:** Contact HUD Headquarters or the appropriate HUD Office of Regional Fair Housing and Equal Opportunity within time frames established in Notice of Availability of funds, currently September 28, 1981.

**Range of Approval/Disapproval Time:** Two to 6 months.

**Appeals:** Not applicable.

**Renewals:** By negotiation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula per se or matching requirements. However, included in each funding component are maximum amounts established for each activity, by program and individual agency. Further, agreements preclude use of funds to substitute for funding provided by a State or local agency budget.

**Length and Time Phasing of Assistance:** Awards will be made for a one year period of time. For detailed program information under each funding component, contact HUD Office of Regional Fair Housing and Equal Opportunity or Headquarters Office. Fixed price and/or cost reimbursable cooperative agreements are anticipated to be awarded, with payments to be made in accordance with dates established in individual cooperative agreements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** On-site review and evaluation, and periodic monitoring of agency complaint handling performance to assure HUD's processing standards are met. Recipients are required to comply with relevant part with Chapter 8 of HUD Handbook 8000.1 Rev-1 Fair Housing and Equal Opportunity Complaint and Compliance Review Reporting and Control Procedures for State and Local Agency Reporting Requirements. Progress reports will be required with submission of each voucher for payment in accordance with payment schedules established in individual cooperative agreements.

**Audits:** Federal Audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to OMB Circular A-102, "Uniform Requirements for grants to State and local governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Guidelines, "Standards for Audit of Government Organizations, Programs Activities, and Functions", and additional OMB Guidance.

**Records:** State and local agencies are required to maintain housing complaint files for a period of one year after their disposition.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0144-0-1-451.

**Obligations:** (Grants) FY 81 $2,163,291; FY 82 est $5,700,000; and FY 83 est $5,700,000.

**Range and Average of Financial Assistance:** Contribution for Capacity Building and Complaint Processing-$20,000-$200,000; Training - $6,000-$20,000; Specialized Projects - $20,000-$75,000.

**PROGRAM ACCOMPLISHMENTS:** Substantial increase in HUD's referral of Title VIII complaints to State and local agencies as well as a decrease in HUD's reactivation of Title VIII complaints.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Recognition of Substantially Equivalent Laws, 24 CFR 115; "Fair Housing Assistance Program; Eligibility Criteria and Funding Standards, 24 CFR Part 111, 45 FR 31850-31885 (5-14-80). Notice of Availability of Funding under the Fair Housing Assistance Program, 45 FR 45854-45855 (7-7-80).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Director, Office of Regional Fair Housing and Equal Opportunity in the appropriate HUD Regional Office listed in the Catalog address appendix.

**Headquarters Office:** Assistant Secretary for Fair Housing and Equal Opportunity; Department of Housing and Urban Development; 451-7th Street, S.W., Washington, DC 20410. Telephone: (202) 426-3500.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Funding for capacity building training and data will be based on a written statement of need within established limitations. Evaluation of all other program components will be evaluated competitively based on Agency Management Quality, Project Planning and Management Quality, General Substantive Value, Recurrent Utility or Replicability and Cost Factors.

## 14.402 NON-DISCRIMINATION IN FEDERALLY-ASSISTED PROGRAMS (ON THE BASIS OF AGE)

### (Age)

**FEDERAL AGENCY:** OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** The Age Discrimination Act of 1975 (ADA).

**OBJECTIVES:** The Age Discrimination Act of 1975, as amended, is designed to prohibit discrimination on the basis of age in programs or activities receiving Federal financial assistance. The Act, however, permits federally-assisted programs and activities and recipients of Federal funds to continue to use certain age distinctions and factors other than age which meet the requirements of the Act and the regulation.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Subject to legislative restrictions as to coverage, individuals are entitled to services, i.e., housing which is suitable according to needs and financial ability in the area in which they desire to live, etc., without discrimination based on age. Investigations are conducted if complaints cannot be mediated successfully and action is taken to settle the complaints. Beneficiaries and recipients are provided with brochures on the mediation process.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual aggrieved by a discriminatory practice because of age may file a complaint with the Department of Housing and Urban Development. A complainant may file a civil action following exhaustion of administrative remedies under the Act.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Complaints may be sent to any HUD Regional Office or HUD's Washington Office.

**Award Procedure:** None.

**Deadlines:** A complaint based on age must be referred to the Federal Mediation and Conciliation Service for mediation which must be completed within sixty (60) days from the date the Department receives the complaint.

**Range of Approval/Disapproval Time:** A complaint based on age must be referred to Headquarters immediately upon receipt by the Regional Office for referral to the Federal Mediation and Conciliation Service.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0143-0-1-999.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** HUD has received 25 Age Complaints within the past 2 1/2 years. The majority of those complaints have successfully been resolved by the Federal Mediation and Conciliation Service. In November and December 1978, training was conducted which provided the Regional Offices with guidance on how to handle Age Complaints and informed our Regional staff of the requirements of the Age Discrimination Act of 1975.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Department published its proposed Age Discrimination Regulations in the Federal Register on Tuesday, November 4, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Regional Director for Fair Housing and Equal Opportunity in the appropriate HUD Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Myra B. Kennedy, Department of Housing and Urban Development, Office of Fair Housing and Equal Opportunity, 451 7th St., S.W., Room 5230, Washington, DC 20410. Telephone: (202) 755-5904.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 14.403 COMMUNITY HOUSING RESOURCE BOARD PROGRAM (CHRB)

**FEDERAL AGENCY:** OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Title VIII of the Civil Rights Act of 1968, as amended, 42 U.S.C. 3601.

**OBJECTIVES:** To provide funding to Community Housing Resource Boards (CHRBs) that have the responsibility of providing program implementation assistance to housing industry groups that have signed Voluntary Affirmative Marketing Agreements (VAMAs) with HUD. The intent of the program is to fulfill HUD's contractual agreement to provide assistance to local real estate boards in achieving VAMA goals by supporting projects that improve CHRB performance and increase their ability to assist in implementing the VAMA.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** CHRBs receiving support under this program must implement one year projects that are components of viable strategies to support the goals of the VAMA. Funds may be used for program costs, as opposed to Administrative costs. No funds available to CHRBS may be used for testing activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The applicant must be a CHRB consisting of HUD appointed representatives of community organizations or agencies formed to fulfill HUD's obligation to provide technical assistance to local real estate boards in the implementation and monitoring of progress under the Voluntary Affirmative Marketing Agreement.

**Beneficiary Eligibility:** HUD appointed Community Housing Resource Boards.

**Credentials/Documentation:** Applications from eligible applicants must contain a transmitted letter from CHRB chairperson, narrative description of proposed project, information about the CHRB, e.g., organization date, composition, etc., information about prior projects.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Eligible applicants submit proposals to HUD, Office of Fair Housing and Equal Opportunity upon publication of a Notice of Funds Availability in the Federal Register.

**Award Procedure:** HUD will review and rank submissions.

**Deadlines:** Office of Fair Housing and Equal Opportunity, Headquarters, should be contacted for deadline dates.

**Range of Approval/Disapproval Time:** 6 to 8 weeks.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Money is awarded for one year and is made available to selected CHRBs on a drawdown basis three times during the funded year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports required by HUD 2 weeks after the award, 4 months after the award and 12 months after the award.

**Audits:** In accordance with the provisions of Attachment P to OMB Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Accounting records and other records pertinent to the grant shall be maintained by the grantee not less than three years after the final grant payment has been made.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0144-0-1-751.

**Obligations:** (Project Grants) FY 81 $2,000,000; FY 82 est $1,500,000; and FY 83 est $1,500,000.

**Range and Average of Financial Assistance:** $15,000 for CHRBs in communities of 50,000 or less. $25,000 for CHRBs in communities over 50,000.

**PROGRAM ACCOMPLISHMENTS:** Not available, new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Community Housing Resource Board Grant Program - Interim Rule - 24 CFR Part 120. Community Housing Resource Board Program Handbook (HUD Handbook 8021.2) for staff and program participants.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Office of Fair Housing and Equal Opportunity (FHEO); Office of the Regional FHEO Director listed in Appendix IV of the Catalog.

**Headquarters Office:** Department of Housing and Urban Development, Office of Fair Housing and Equal Opportunity, Office of Voluntary Compliance, Washington, DC 20410. Contact: Deborah Seabron-Dickens, National Coordinator. Telephone: (202)-755-5992.

**RELATED PROGRAMS:** 14.400, Equal Opportunity in Housing; 14.401, Fair Housing Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** New program.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Relationship of proposal to VAMA goals. (2) Extent to which groups VAMAs are designed to reach are affected. (3) Experience available to implement projects. (4) Documentation of CHRB members commitment. (5) Extent to which projects do not duplicate other community fair housing efforts.

## 14.506 GENERAL RESEARCH AND TECHNOLOGY ACTIVITY

**FEDERAL AGENCY:** OFFICE OF POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:** Housing Act of 1970, Title V, as amended.

**OBJECTIVES:** To carry out research and demonstration projects of high priority and pre-selected by the Department to improve the operations of the Department's programs.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Funds are principally awarded to competitively solicited research projects planned to meet the needs of the Department of Housing and Urban Development. Research relating to: energy conservation; national housing needs; evaluation of existing housing and community development programs; improving the environment; and improving the management and planning of State and local governments are areas eligible for award of grants or cooperative agreements. Grants and cooperative agreements are available to State and local governments, industry, and nonprofit and academic institutions. UNSOLICITED PROPOSALS: Unsolicited proposals are reviewed in accordance with this program's "Guidelines for Unsolicited Proposals," but because there are no undesignated funds, relatively few can be funded, and only by displacing an already planned project. Cost-sharing is required. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111, but jointly-funded projects seldom arise because coordination with pre-planned research is difficult, and because there are no undesignated funds in the program. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. In general, funds are not available for: (1) research of primarily local nature and benefits, (2) institutional support or operating funds, and (3) development of marketable products.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Capacity and capability of applicant to perform research by grant or cooperative agreement under this program.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Contact the Office of the Assistant Secretary for Policy Development and Research for unsolicited proposals. Contact the Office of Procurement and Contracts for information related to competitive solicitations.

**Application Procedure:** Response to HUD request for proposals issued by the Office of Procurement and Contracts is the normal method. Unsolicited proposals that are original in concept and meet program objectives are also considered; however, funds are not set aside specifically for this purpose, and unsolicited proposals must compete with and displace HUD-originated research requirements to be considered for funding. Unsolicited proposals require cost-sharing (proposer bears a share of all cost; No fee is allowed). Grants under this program are subject to modified provisions of OMB Circular No. A-110 (more intensive planning and progress reporting; cost-reimbursement upon approved progress is preferred payment method); cooperative agreements are governed by special, OMB-approved agreement provisions drawn from A-110 and other sources to meet needs of this program.

**Award Procedure:** The applicant will negotiate with HUD on the award amount and scope of work of the proposal. The headquarters office closely monitors research performance.

**Deadlines:** As specified in request for proposals.

**Range of Approval/Disapproval Time:** As identified in request for proposals for competitive awards; 60 to 120 days for unsolicited proposals.

**Appeals:** Office of the Assistant Secretary for Policy Development and Research for unsolicited proposals. Office of Procurement and Contracts for all agreement matters.

**Renewals:** As provided in agreement arrangements, if any.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Agreements may be either cost reimbursable or fixed price in nature. Unsolicited proposals resulting in an award are required to be cost shared.

**Length and Time Phasing of Assistance:** As specified in the contractual agreement. Awards usually will not exceed twelve months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As specified in agreements.

**Audits:** Accounts and records of the project are subject to audit by the Federal government at any time. The number of audits depends on the length of the project and the nature of the agreement. A final audit will be made for most agreements.

**Records:** Full and accurate records must be maintained with respect to all matters covered in the agreement.

**FINANCIAL INFORMATION:**

**Account Identification:** 86-0108-0-1-451.

**Obligations:** (Research Grants or Cooperative Agreements) Funds available each year come from a single research appropriation for both research grants and research contracts, with the choice of agreement defined by statute, Public Law 95-224, based on the purpose of the research. The annual amount obligated to research grants varies from $5,000,000 to $10,000,000.

**Range and Average of Financial Assistance:** $150 to $500,000; $60,000.

**PROGRAM ACCOMPLISHMENTS:** There are approximately 100 to 125 awards in each year. Research and demonstration programs are underway in the following major areas: neighborhood preservation and revitalization, utilities and environmental research, residential safety, community development and growth, improving State and local government capabilities and operations, elderly and handicapped, alternate mortgage instruments, improving housing choices for consumers, urban economic development, public finance, and housing costs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guidelines for Submitting Unsolicited Proposals.

**INFORMATION CONTACTS:**

**Regional or Local Office:** All inquiries should be directed to the headquarters office.

**Headquarters Office:** Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development, 451 7th Street S.W., Washington, DC 20410. Attenton: HUD Publications Service Center (Room B-258). Telephone: (202) 755-6420.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# DEPARTMENT OF THE INTERIOR

## BUREAU OF INDIAN AFFAIRS

### 15.103 INDIAN SOCIAL SERVICES—CHILD WELFARE ASSISTANCE

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Snyder Act, November 2, 1921; Public Law 67-85; 42 Stat. 208; 25 U.S.C. 13; 25 CFR 20.

**OBJECTIVES:** To provide foster home care and appropriate institutional care for dependent, neglected, and handicapped Indian children residing on or near reservations, including those children living in jurisdictions under the BIA in Alaska and Oklahoma, when these services are not available from State or local public agencies.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** To pay for foster home care or institutional care or certain other special needs relating to care and maintenance of children.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Dependent, neglected, and handicapped Indian children whose families live on or near Indian reservations or in jurisdictions under the Bureau of Indian Affairs in Alaska and Oklahoma. Application may be made by a parent or guardian or person having custody of the child.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A request for assistance to the Indian Agency Superintendent.

**Award Procedure:** Assistance is provided by the Indian Agency.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Generally a request is approved the same day or within 10 days, depending upon the extent of need and investigation necessary.

**Appeals:** An appeal from a decision of the local agency may be taken to the Area Director, an appeal from the Area Director to the Commissioner of Indian Affairs.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** The length of assistance is indefinite, depending on continued need. Assistance is usually provided monthly or as needed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Direct payments) FY 81 $13,630,051; FY 82 est $11,500,000; and FY 83 est $14,300,000.

**Range and Average of Financial Assistance:** $100 to $800; $358. (Assistance per child per month, depending on type of care or treatment required.)

**PROGRAM ACCOMPLISHMENTS:** Child welfare assistance was provided to a monthly average of 3,200 children in fiscal year 1981, and will be provided to an estimated monthly average of 3,500 children during fiscal year 1982 and fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 20 and 66 Indian Affairs Manual (BIAM) 10.0 - 10.24.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Information can be secured from the Superintendents of Indian Agencies, and from Area Directors. (See Catalog appendix IV for addresses.) Applications for child welfare assistance are made at the local agency level.

**Headquarters Office:** Division of Social Services, Office of Indian Services, Bureau of Indian Affairs, 18th and C streets, N.W., Washington, DC 20245. Telephone: (202) 343-6434. Contact: Raymond V. Butler.

**RELATED PROGRAMS:** 13.645, Child Welfare Services—State Grants; 15.113, Indian Social Services—General Assistance; 15.144, Indian Child Welfare Act—Title II Grants.

**EXAMPLES OF FUNDED PROJECTS:** Individual payment for foster care on behalf of child requiring temporary care away from his or her home: Specialized institutional care for handicapped children; protective services to abused, dependent or neglected children.

**CRITERIA FOR SELECTING PROPOSALS:** Must be Indian child in need of foster care as defined in 25 CFR 20. All eligible applicants funded, subject to available funding.

### 15.108 INDIAN EMPLOYMENT ASSISTANCE

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** The Snyder Act of November 2, 1921; 42 Stat. 208; Public Law 67-85; 25 U.S.C. 13; Indian Adult Vocational Training Act of August 3, 1956; Public Law 84-959; 70 Stat. 986; 25 U.S.C. 309.

**OBJECTIVES:** To provide vocational training and employment opportunities for Indians.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Assist Indian people in obtaining a marketable skill and employment. Restricted to Indian people eligible for these services. The program may be used for vocational training in schools approved by the Bureau and for assistance in job placement, and for general employment counseling. Eligible Indians may receive vocational training and job placement on or near the reservation or in an urban area.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The applicant must be a member of a recognized tribe, band, or group of Indians, whose residence is on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs; and for vocational training grants, must have one-quarter degree or more of Indian blood.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Form FS-5-412.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications should be made on Bureau of Indian Affairs Form 5-412 at closest Bureau Employment Assistance office.

**Award Procedure:** Applications are approved by the Agency Superintendent.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 1 to 30 days.

**Appeals:** Applicant, on referral, can appeal to the Commissioner of Indian Affairs.

**Renewals:** Renewals are granted.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** For vocational training not to exceed 2 years, except for nurses training which may be for 3 years. Assistance grants for subsistence, tuition, medical costs, etc., are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Total program funds including grants) FY 81 $27,393,000; FY 82 est $27,120,000; and FY 83 est $27,514,000.

**Range and Average of Financial Assistance:** Grants: $800 to $5,500 per year; $3,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981, 12,800 individuals were served; fiscal year 1982, the estimate is 10,300; and in fiscal year 1983, 11,800 individuals will be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 34.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Applicants should make application to nearest Bureau regional or local office (see Catalog appendix IV for address).

**Headquarters Office:** Office of Indian Services, Division of Job Placement and Training, Bureau of Indian Affairs, 18th and C Streets N.W., Room 1350, Washington, DC 20245. Telephone: (202) 343-8427. Contact: Robert F. Delaware.

**RELATED PROGRAMS:** 15.114, Indian Education—Higher Education Grant Program; 15.850, Indian Arts and Crafts Development.

**EXAMPLES OF FUNDED PROJECTS:** Individual submits application for vocational training program. After testing and career counseling, vocational choice is made. Individual selects training location. The amount of funds is then determined by applicant's family size (single, married couple, married couple plus children, etc.), transportation to training location, tuition and related training costs. Weekly subsistence is determined by length of training. Emergency needs are considered. Direct employment applicant submits application. Funds provided for transportation to job location, size of family, purchase of tools, emergency, and subsistence up until the first pay-check is received. Medical costs are provided as the need arrives for both vocational training and direct employment applicants.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are received for both vocational training and direct employment participants. Final determination to fund the application is based on need.

## 15.113 INDIAN SOCIAL SERVICES—GENERAL ASSISTANCE

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Snyder Act, November 2, 1921; Public Law 67-85; 42 Stat. 208; 25 U.S.C. 13; 25 CFR 20.

**OBJECTIVES:** To provide assistance for living needs to needy Indians on or near reservations, including those Indians living in jurisdictions under the Bureau of Indian Affairs in Alaska and Oklahoma, when such assistance is not available from State or local public agencies.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Provides cash payments to individuals and families to meet daily living needs (i.e., food, clothing, shelter, etc.).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Needy Indians living on or near Indian reservations or in jurisdictions under the Bureau of Indian Affairs in Oklahoma.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A verbal or written request for assistance, to the Indian Agency Superintendent.

**Award Procedure:** Assistance is provided by the Indian Agency.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Generally within 10 days depending upon applicants needs and the extent of investigation required.

**Appeals:** An appeal from a decision at the local Indian agency level may be taken to the Area Director; an appeal from the Area Director to the Commissioner of Indian Affairs.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** The length of assistance is indefinite, depending on continued need. Assistance is usually provided monthly or as needed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Total program funds including direct payments) FY 81 $52,886,519; FY 82 est $52,045,000; and FY 83 est $56,946,000.

**Range and Average of Financial Assistance:** May range from several dollars monthly to several hundred dollars monthly depending upon family size and needs.

**PROGRAM ACCOMPLISHMENTS:** General assistance was provided to a monthly average of 55,642 persons in fiscal year 1981 and will be provided to an estimated monthly average of 57,750 persons during fiscal years 1982, and 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 20 and 66 Bureau of Indian Affairs Manual (BIAM) 1.0 6.3.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Information can be secured from the Superintendents of Indian Agencies and from Area Directors (see Catalog appendix IV for addresses). Applications for general assistance are made at the local agency level.

**Headquarters Office:** Division of Social Services, Office of Indian Services, Bureau of Indian Affairs, 18th and C Sts., N.W., Washington, DC 20245. Contact: Raymond V. Butler. Telephone: (202) 343-6434.

**RELATED PROGRAMS:** 15.103, Indian Social Services—Child Welfare Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Individual financial assistance (welfare) grant to a single person or to a family of eight based upon public assistance standards of State where recipients reside.

**CRITERIA FOR SELECTING PROPOSALS:** Must be Indian residing on or near reservation as defined in 25 CFR 20 and must be in need as defined in 25 CFR 20. Proposals funded subject to availability of funds.

## 15.114 INDIAN EDUCATION—HIGHER EDUCATION GRANT PROGRAM

### (Higher Education)

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Snyder Act of November 2, 1921; Public Law 67-86; 25 U.S.C. 13.

**OBJECTIVES:** To provide financial aid to eligible Indian students to enable them to attend accredited institutions of higher education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds are a portion of the total financial aid package prepared by the college financial aid officer. Funds are intended to assist students in pursuing regular accredited college courses necessary for achievement of a college degree.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be one-fourth or more degree Indian, Eskimo, or Aleut blood, of a tribe being served by the Bureau, enrolled or accepted for enrollment in an accredited college, have financial need as determined by the institution's financial aid office.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certificate of Indian blood; college financial aid package; statement of acceptance by college, Bureau of

Indian Affairs grant application; and transcript or grades from previous term.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Acceptance at a college or university and application for financial aid from the college using their approved needs analysis system.

**Application Procedure:** Students must be accepted by a college or university. Application forms are completed by applicant in accordance with instructions available upon request from the area office, agency or Tribal contactor administering the program for the applicant's tribal group. Completed forms are submitted to the students higher education program office at the agency, area, or tribal contract office of higher education.

**Award Procedure:** When an award is granted, student is notified and funds are sent to the applicant in care of college or university financial aid office.

**Deadlines:** June 1 for regular academic term. Students should also meet college financial aid office deadlines. This is usually March 15.

**Range of Approval/Disapproval Time:** 6 to 10 weeks when all required documents are submitted.

**Appeals:** From the administering office to Area Education Program Administrator, to Director, Office of Indian Education Programs, to Assistant Secretary - Indian Affairs to Secretary of the Interior.

**Renewals:** Grants may be continued through undergraduate or graduate levels if student maintains acceptable progress and academic standing. Renewal applications must be submitted yearly by June 1.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Students are expected to take advantage of the financial aid programs offered to all students, and any other financial aid which may be available to them.

**Length and Time Phasing of Assistance:** Grants are generally made for the academic year on a quarter or semester basis.

**POST ASSISTANCE REQUIREMENTS:** Keep Bureau Granting office informed of academic progress, change of courses or dropout intentions.

**Reports:** Grade reports of students applying for continuation of grants are to be submitted at the end of each semester or quarter.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-501.

**Obligations:** (Total program funds including grants) FY 81 est $26,919,000; FY 82 est $27,371,000; and FY 83 est Not identifiable. (This program is proposed for consolidation in the "Consolidated Tribal Government Program".

**Range and Average of Financial Assistance:** $200 to $7,000; Average for 1979 $1,575; Average for 1980 $1,600; average for fiscal year 1981 $1,527; Average for fiscal year 1982 $1,640.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 16,000 Indian College students were aided; in fiscal year 1981, 16,500 students were assisted; and the 1982 estimate is for 17,000 students to be assisted.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 32; Bureau of Indian Affairs Manual, 62,IAM 5.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See area offices or agencies in Catalog address appendix.

**Headquarters Office:** Office of Indian Education Programs, 1951 Constitution Avenue, N.W., Washington, DC 20245. Contact: Donald Standing Elk. Telephone: (202) 343-7387.

**RELATED PROGRAMS:** 15.108, Indian Employment Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Undergraduate applicant (typical): Student, single, freshmen; 8/8 Navajo Tribe; University of Northern Arizona; major-Engineering/minor, Business; degree objective: BS; total budget $4000 (BEOG $1500; SEOG $400; BIA $2100. Married or advanced degree applicant (typical): Student, married with family members; 1/2 Sioux Tribe; University of North Dakota; major-medicine/minor, Biology; degree objective: MD; total budget $8000 (ED funding $3,500; BIA $4,500).

**CRITERIA FOR SELECTING PROPOSALS:** 1/4 or more Indian, Eskimo or Aleut of a tribe being served by BIA. Enrolled in an accredited institution in pursuit of a regular or advanced degree. Must have a demonstrated financial need as determined by the institution's financial aid office.

## 15.123 INDIAN LOANS—CLAIMS ASSISTANCE

## (Expert Witness Loans)

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Expert Assistance Loans; Public Law 88-168; 25 U.S.C. 70n-1; and two subsequent supplemental acts increasing the amount of the authorization.

**OBJECTIVES:** To enable Indian tribes or identifiable groups of Indians without available funds to obtain expert assistance in the preparation and processing of claims pending before the U.S. Court of Claims.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Loans may be used to obtain expert assistance, other than counsel, for the preparation and trial of claims pending before the U.S. Court of Claims. No loans may be made if the tribe, band, or group have sufficient funds available to obtain the assistance it needs or if, in the opinion of the Secretary, the expert fees are unreasonable in light of the services to be performed.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An Indian organization must have one or more pending claims of a nature and in a stage of prosecution requiring the services of expert witnesses.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof by U.S. Court of Claims that a judgment is pending.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications must be submitted at the local level when a local office serves the area. If no local office serves the organization, applications may be submitted at the Central Office.

**Award Procedure:** The Commissioner of Indian Affairs makes final decisions to approve, in whole or in part or to disapprove. Local offices notify applicants of action taken on applications.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 15 to 30 days from date of submittal of application.

**Appeals:** Available when justified through the same authorities who approve the loans.

**Renewals:** Available when justified through the same authorities who approve the loans.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** If no judgment is recovered or if the amount of the judgment recovered is inadequate to repay the loan and the interest thereon, the unpaid amount may be declared nonrepayable by the Secretary of the Interior.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-4409-0-3-452.

**Obligations:** (Loans) FY 81 $429,717; FY 82 est $770,000; and FY 83 est $500,000.

**Range and Average of Financial Assistance:** $500 to $250,000; $10,000.

**PROGRAM ACCOMPLISHMENTS:** Actual through fiscal year 1981, loan commitments totaling $4,390,262 have been approved, of which $3,341,647 has been advanced. Repayments of $2,160,173 and cancellations of $15,000 were applied to principal and payments of $609,541 and cancellations of $9,375 were applied to interest.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 91.25; 47 BIAM Supplement 2, 3.14.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Organizations interested in applying should contact the appropriate Bureau Office (see Catalog address Appendix IV).

**Headquarters Office:** Director, Office of Tribal Resources Development, Bureau of Indian Affairs, Department of the Interior, 18th and C Streets, N.W., Rm. 4650, Washington, DC 20245. Contact: Reg Arnold. Telephone: (202) 343-5324.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** An expert assistance loan of $4,595 was made to an Indian tribe to retain qualified experts who would provide a report to the Claims Commission. The report indicates that the tribe might be able to establish damages in the range of $100,000 to $500,000 from a breach of an oral promise by the United States Government to furnish the tribe with fishing gear.

**CRITERIA FOR SELECTING PROPOSALS:** All eligible proposed projects are funded subject to the availability of loan funds.

## 15.124 INDIAN LOANS—ECONOMIC DEVELOPMENT

### (Indian Credit Program)

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Section 10 of the Indian Reorganization Act of June 18, 1934 (IRA); Public Law 73-383; 48 Stat. 986; 25 U.S.C. 470; Public Law 93-262; 88 Stat. 77 through 83; 25 U.S.C. 1451.

**OBJECTIVES:** To provide assistance to Indians, Alaska Natives, tribes, and Indian organizations to obtain financing from private and governmental sources which serve other citizens. When otherwise unavailable, financial assistance through the Bureau is provided eligible applicants for any purpose that will promote the economic development of a Federal Indian Reservation.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Loans may be used for business, industry, agriculture, rehabilitation, housing, education, and for relending by tribes and Indian organizations to members of such organizations. Funds must be unavailable from other sources on reasonable terms and conditions. Funds may not be used for speculation. Except for educational purposes, Bureau financial assistance must be used on or near a Federal Indian Reservation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Indians, Alaska Natives, tribes, and Indian organizations. Individual applicants must be a member of a federally recognized tribe and not members of an Indian organization which conducts its own credit program. Organizational applicants must have a form of organization satisfactory to the Commissioner of Indian Affairs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Individual applicants must furnish factual evidence of their membership eligibility and of their inability to obtain financing through the same institutions serving other citizens. Organizational applicants must provide documents establishing the entity, and evidence of its inability to obtain financing from other sources.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications must be initiated at the local, usually the agency level, and submitted on forms approved by the Commissioner of Indian Affairs.

**Award Procedure:** Action approving or disapproving loans is taken at various levels pursuant to delegated authority. Local office notifies applicants of action taken on applications.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 60 days depending upon completeness of loan package.

**Appeals:** Appeal may be made to the Area Director; an appeal from his decision may be made to the Commissioner of Indian Affairs, and a further appeal can be taken ultimately to the Secretary of the Interior whose decision is final.

**Renewals:** Available when justified through the same authorities who approved the loans.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The percentage of guaranty or insurance is limited to 90 percent of unpaid principal and interest.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports from credit programs and tribal enterprises.

**Audits:** Annual audit of credit programs and tribal enterprises.

**Records:** Financial statements, income and expense, accounts receivable, and comparative balance sheets.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-4409-0-3-452; 14-4410-0-3-452.

**Obligations:** (Direct Loans) FY 81 $10,380,734; FY 82 est $14,000,000; and FY 83 est $19,500,000. (New Loans Guaranteed) FY 81 $1,000,000; FY 82 est $30,700,000; and FY 83 est $15,800,000.

**Range and Average of Financial Assistance:** $1,000 to over $1,000,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** Actual through fiscal year 1981, loan commitments totaling $149,052,069 have been approved. Repayments of $65,417,753 were received on the principal and $28,918,552 on interest.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 91 and 93, 47 BIAM supplements 1 and 2.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Indian organizations and individuals interested in applying should contact the appropriate Bureau Office (see Catalog address appendix).

**Headquarters Office:** Director, Office of Indian Services, Bureau of Indian Affairs, 18th and C Streets, N.W., Rm. 343, Washington, DC 20245. Telephone: (202) 343-5324. Contact: Richard Nephew.

**RELATED PROGRAMS:** 10.406, Farm Operating Loans; 10.407, Farm Ownership Loans; 10.416, Soil and Water Loans; 10.422, Business and Industrial Loans; 10.423, Community Facilities Loans; 11.300, Economic Development—Grants for Public Works and Development Facilities; 11.415, Fishing Vessel Obligation Guarantees; 59.003, Economic Opportunity Loans for Small Businesses; 59.012, Small Business Loans; 64.114, Veterans Housing—Guaranteed and Insured Loans.

**EXAMPLES OF FUNDED PROJECTS:** A direct loan of $130,000 was made to a Native Village. The funds were used to purchase bulk fuel oil, propane and gasoline. These products were to be resold through the enterprise known as the village native store. This enterprise is the only known local supplier of said products. Another direct loan of $400,000 was made to an Indian tribe for establishing a tribal cow herd. A loan was guaranteed by the Bureau to an Indian tribe for over $500,000 to contruct a health care facility which was rented when it was completed.

**CRITERIA FOR SELECTING PROPOSALS:** Applicant must be a member of a federally recognized Indian Tribe. Project must be profit-oriented, be at least 51 percent Indian owned and managed. Project must be on or near a federally recognized Indian Reservation. Project must provide economic development to a federally recognized Indian reservation.

## 15.130 INDIAN EDUCATION—ASSISTANCE TO SCHOOLS

### (Johnson—O'Malley Educational Assistance)

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Public Law 93-638; U.S.C. 450.

**OBJECTIVES:** To provide supplemental education programs for eligible Indian students attending public schools.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Funds may be used for programs to meet the special educationally related needs of eligible Indian students. Funds under this program may not be used for capital expenditures.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Tribal organizations, Indian Corporations, school districts or State which have eligible Indian children attending public school districts which have established Indian Education Committees to approve operations of programs beneficial to Indians.

**Beneficiary Eligibility:** Children of one-fourth or more degree of Indian blood and members of tribes eligible for bureau services, with priority given to those residing on or near Indian reservations.

**Credentials/Documentation:** As required for contract under 25 CFR 271 or 273. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** BIA must provide technical assistance when requested by tribal organization.

**Application Procedure:** Request for assistance is submitted by State, School District or tribal organization together with an educational plan, supported by budget estimates demonstrating need for assistance.

**Award Procedure:** Contract is negotiated by State, School District, tribal organization or Indian Corporation representatives and authorized representatives of the Director of the Office of Indian Education programs and assistance paid to contractor in accordance with contract terms. Notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** If tribe wishes contract, it must notify BIA by February 1.

**Range of Approval/Disapproval Time:** Up to 120 days.

**Appeals:** As provided under 25 CFR 271 and 273.

**Renewals:** Contracts terms may be up to 3 years, but renegotiated annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Amount of aid is based on formula specified in 25 CFR 273 for supplementary programs.

**Length and Time Phasing of Assistance:** Provided on an annual basis, subject to availability of appropriations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports required following the close of the local school year, as specified in 25 CFR 273.

**Audits:** Schools in which eligible Indian children are enrolled shall be open to visits of observation and consultation by authorized Government representatives, and programs will be audited annually.

**Records:** Each contractor shall make available to accredited employees of the Bureau of Indian Affairs such records and reports as may be necessary to insure contract compliance.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-501.

**Obligations:** (Direct Payments) FY 81 $29,469,000; FY 82 est $25,954,000; and FY 83 est $25,954,000.

**Range and Average of Financial Assistance:** Depends on the number of students participating in the program.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 177,822 pupils participating; in fiscal year 1982, there are 165,988 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 273 and 271.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See area offices and agencies in Catalog appendix IV.

**Headquarters Office:** Division, Elementary and Secondary Education, Office of Indian Education Programs, Bureau of Indian Affairs, 18th and C Streets, N.W., Washington, DC 20240. Telephone: (202) 343-8657. Contact: M. Elizabeth Holingren or Maribel Printup.

**RELATED PROGRAMS:** 15.114, Indian Education—Higher Education Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Home school coordinators; parental cost items, Teacher Aides, Field Trips; and cultural arts programs.

**CRITERIA FOR SELECTING PROPOSALS:** Johnson - O'Malley Parent Committee determination.

## 15.141 INDIAN HOUSING ASSISTANCE

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** The Snyder Act, November 2, 1921; 42 Stat. 208; Public Law 67-85; 25 U.S.C. 13.

**OBJECTIVES:** To use the Indian Housing Improvement Program (HIP) and Bureau of Indian Affairs resources to substantially eliminate substandard Indian housing. This effort is combined with the Departments of Health and Human Services, and Housing and Urban Development.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Training; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** For HIP, the program is mainly devoted to housing improvement. The Bureau does, however, build an entire house in situations where no other program will meet the need, i.e., extremely isolated areas or reservations where only a very small number of homes are needed; development and implementation of Resident Training and Counseling Programs (RTCP) for occupants of Indian housing projects; assistance is provided to Indian tribes to establish housing plans and determine the extent and use of BIA Housing Improvement Program; technical and administrative assistance to local Indian housing authorities in the development and management of federally funded Indian housing projects. For HUD, assistance is restricted to Indian tribes that are able to establish a housing authority and carry out programs under the U.S. Housing Act of 1937, as amended.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For HIP, Indians in need of financial assistance who meet the eligibility criteria of the HIP regulations (25 CFR, Subchapter X, Part 261). For HUD, Indians who meet the income criteria and other rules and regulations of the legally established local Indian housing authorities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For HIP, Indians must furnish information required by 25 CFR, Subchapter X, Part 261, basically proving Indian eligibility under Federal regulations and financial inability to obtain assistance for repairs or new housing. For HUD, tribal resolutions, State or Federal laws establishing Indian housing authorities under the U.S. Housing Act of 1937, as amended, and rules and regulations of the Department of Housing and Urban Development. For those programs that do not require a housing authority for assistance, proper documentation as required by the particular lending or guaranteeing entity.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For HIP, in accordance with the Interdepartmental Agreement (Indian Housing Regulations, Title 24, Part 805). For HUD, HUD-funded programs under the U.S. Housing Act of 1937, as amended.

**Application Procedure:** For HIP, written request from tribe, local Indian housing authority, tribal housing committee or other duly constituted housing group, or individual, to Agency Superintendent or Area Director of the Bureau of Indian Affairs. For HUD programs, to local Indian housing authority.

**Award Procedure:** For HIP, grants to individual Indians through the tribe, tribal housing committee, Indian housing authority, or by the BIA.

**Deadlines:** For HIP, set at the local level.

**Range of Approval/Disapproval Time:** No set time.

**Appeals:** For HIP, (1) Agency Office; (2) Area Office; (3) Central Office of Bureau of Indian Affairs. For HUD programs, local Indian housing authority, HUD Area/Regional Office, Washington based Headquarters.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For HIP, money is used in conjunction with other Federal (IHS for water and sanitary facilities) or privately financed programs that are appropriate to repair or build housing.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For HIP, the BIA keeps starts and completions on all housing programs within the jurisdiction of each Area Office for repairs and construction. These reports are due each quarter.

**Audits:** Periodically performed, for HIP.

**Records:** For HIP, when the BIA contracts with an Indian tribe for services, the tribe is required to maintain adequate records in order to make the appropriate reports. For HUD, extensive record keeping is required of local Indian housing authorities.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Total HIP program costs including grant funding, salaries, and expenses) FY 81 $22,572,000; FY 82 est $29,810,000; and FY 83 est $23,289,000.

**Range and Average of Financial Assistance:** For HIP, maximum of $20,000 for repairs; $2,500 for temporary and emergency housing; $5,000 for a down payment to obtain loan for housing; and $45,000 for new standard housing ($55,000 in Alaska only). The average cost for repair is approximately $10,000. Average new housing construction is approximately $29,000.

**PROGRAM ACCOMPLISHMENTS:** For HIP, in fiscal year 1980 over 4,000 homes have been repaired and some 800 new houses built. For HUD, as of September 30, 1980, 39,500 HUD assisted units were completed and under management by Indian housing authorities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** For HIP, Title 25, Indians, Chapter I, Bureau of Indian Affairs, Subchapter X, Housing, Part 261, Housing Improvement Program; "Indian Housing Program" handout. For HUD, Title 24, Housing and Urban Development, Chapter VIII - Low Income Housing, Department of Housing and Urban Development, Part 805, Indian Housing; general information on HUD programs available to Indian people. Farmers Home Administration pamphlets.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For HIP, nearest Bureau of Indian Affairs Agency or Area Office. For HUD, nearest HUD regional or area office, see Catalog address appendix.

**Headquarters Office:** For HIP, Division of Housing Assistance, Office of Indian Services, Bureau of Indian Affairs, 18th and C Sts., N.W., Washington, DC 20245. Telephone: (202) 343-4876. Contact: G. Ronald Peake, Chief, Division of Housing Assistance, Room 1354, Main Interior Building.

**RELATED PROGRAMS:** 10.410, Low to Moderate Income Housing Loans; 11.304, Economic Development—Public Works Impact Projects; 14.146, Low Income Housing—Assistance Program; 14.149, Rent Supplements—Rental Housing for Lower Income Families.

**EXAMPLES OF FUNDED PROJECTS:** Quileute Demonstration Project-Quileute Reservation, approximately one mile outside of La Push, Washington, 24 single units. Four elderly units. (These units are two duplex units) This is one of the finest examples of HIP which can produce a quality house taking into consideration local wishes and desires. Eighteen units in Little Diamede, Alaska. Prior to HIP undertaking there was no housing in this area. No other federally-assisted housing program was able to meet this need. The impact of this housing in the area has been significant. Not only the Natives have been able to live in decent housing but the effort proved decent housing could be a reality in remote Alaska Villages. Thus, as a result of this HIP effort housing programs started in Alaska Villages. Twenty units on Tonto-Apache Reservation in Payson, Arizona. These 20 units are also a fine example of HIP accomplishments with relatively low-cost. The homes are of good quality with a fine design. They are one to five bedroom units.

**CRITERIA FOR SELECTING PROPOSALS:** There are no proposals in the HIP per se: Requests for HIP funding are made by tribes for the repair and renovation of their existing Indian housing. The repair and renovation is accomplished by direct grants. Priorties are set by tribes and families to receive assistance under the HIP and are selected by tribes taking into account the family size, income, condition of present housing and the availability of other federally-assisted housing programs.

## 15.142 SELF DETERMINATION GRANTS—INDIAN TRIBAL GOVERNMENTS

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Section 104, Public Law 93-638, 88 Stat. 2203.

**OBJECTIVES:** To improve tribal governing capabilities; to prepare for contracting of Bureau programs; to enable tribes to provide direction to the Bureau, and to have input to other Federal programs intended to serve Indian people.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Strengthen and improve administration of Tribal government, planning, training, evaluation or other activities designed to improve the capacity of a tribe to enter into contracts; acquisition of land for these purposes; planning, designing, monitoring, and evaluating Federal programs serving the Indian tribes. Projects primarily for tribal economic development or enterprises or tribal profit making activities are not considered consistent with Section 104(a) of the Act, (i.e., a grant for the purpose of determining the feasibility or subsidizing a tribally owned construction company). Projects involving the funding of Tribal Scholarships or charitable programs are normally not consistent with the purposes for which grants are authorized. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only governing bodies of federally recognized Indian tribes are eligible to apply for self-determination grants.

**Beneficiary Eligibility:** Federally recognized Indian tribes.

**Credentials/Documentation:** The Bureau of Indian Affairs will not make a grant unless specifically and officially requested to do so by a tribal governing body. This request may be in the form of a resolution, or such other forms as the tribal constitution or current practices require. Costs will be determined in accordance with OMB Circular No. A-87, except as noted in appendix A of the regulations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal preapplication conference is recommended. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Assistance is available from the Bureau to aid in preparation of the application.

**Application Procedure:** Submit the following to BIA Agency Superintendent: (1) Part I - Public Law 93-638 Grant Aplication; (2) Part II - Narrative Statement; (3) Part III - Budget Data; (4) Part IV - (Construction Program Only); (5) Must be accompanied by Tribal Resolution. (Instructions in Procedural Guidelines for the Self-Determination Grants Program).

**Award Procedure:** Grant application approved or disapproved by Area Director within 60 days. Notification in writing to tribal governing body, followed by final grant agreement negotiation and approval.

**Deadlines:** Announced annually by the Bureau of Indian Affairs.

**Range of Approval/Disapproval Time:** 60 days.

**Appeals:** To Commissioner in accordance with Part I, Chapter 2, CFR 25.

**Renewals:** Subject to availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula: $50 each for first 2,000 tribal population; $40 each for next 2,000 tribal population; $30 each for next 2,000 tribal population; $20 each for next 2,000 tribal population; $10 each for next 2,000 tribal population; $3 each for all over 10,000 tribal population. Tribes of 150 and less are eligible for up to $10,000 incentive funding, and tribes between 150 to 350 are eligible for $9,950 incentive to maximum $17,500. There are no matching requirements.

**Length and Time Phasing of Assistance:** 1 year renewals. Small grants may be awarded in lump sum, larger grants use treasury advance, cost reimbursement or Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Report of Federal Cash Transactions due within 15 days following the end of each quarter unless otherwise specified in grant agreement; (2) Performance report required along with Financial Status report; (3) Final Expenditure report due 90 days after end of grant period.

**Audits:** Not specified.

**Records:** Records to be maintained for a period of 3 years after completion of grant assistance.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Grants) FY 81 $17,880,000; FY 82 est $18,948,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Average not applicable, based on population.

**PROGRAM ACCOMPLISHMENTS:** A total of 500 tribes have been identified as eligible for grants in fiscal year 1981. Tribes have accomplished a variety of projects to provide orientation and training of Tribal leaders in the implementation of Public Law 93-638; Tribes have provided specialized technical assistance to tribal managers, program directors, accountants and other administrative staff; and has provided specialized assistance to aid tribes in contracting.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 272, 276; Procedural Guidelines for the Self-Determination Grants Program; Handbook for Decision Makers.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact Superintendent at nearest BIA Agency Office.

**Headquarters Office:** Division Chief, Jay Suagee, Office of Indian Services, Division of Self-Determination Services, 18 and C Street, N.W., Washington, DC 20240. Telephone: (202) 343-2706.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A tribe commences a youth counselling service to reduce delinquency and improve its law and other programs. A tribe revises its constitution and by-laws to improve its government structure. A tribe updates its membership rules as basis for service. A tribe conducts service and evaluation of BIA programs in order to prepare program modifications.

**CRITERIA FOR SELECTING PROPOSALS:** All eligible proposals funded for an amount not exceeding the tribes program allocation.

## 15.143 TRAINING AND TECHNICAL ASSISTANCE—INDIAN TRIBAL GOVERNMENTS

### (Self-Determination Training and Technical Assistance)

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Section 104, Public Law 93-638, 88 Stat. 2203.

**OBJECTIVES:** To aid Indian Tribes to exercise self-determination in accord with Public Law 93-638.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Advisory Services and Counseling; Provision of Specialized Services; Training.

**USES AND USE RESTRICTIONS:** Use is restricted to activities which further Indian Self-Determination according to Public Law 93-638 and implementing regulations. Provide training and technical assistance options; enhance tribes' understanding of the Act, help develop skills needed to utilize options, enhance capability to contract for Bureau and other Federal programs; strengthen tribal government; utilize personnel use options; and improve capabilities to direct Bureau and other Federal programs. The Bureau is obligated to offer a tribe training and technical assistance to overcome grounds for declining to contract with a tribe. Also, regulations mandate other instances in the contracting and grant process where technical assistance is offered to tribes. In all instances, tribes are free to accept or reject such offers. Counseling and advisory services are dependent upon availability of Bureau/Federal personnel. Financial assistance is dependent upon funds available within each Area and establishment of tribal priority needs within the Area. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Governing body of any federally recognized Indian tribe.

**Beneficiary Eligibility:** Federally recognized Indian tribes.

**Credentials/Documentation:** A tribal request in the form of a resolution or some other form in accord with tribal constitution or current practice shall accompany the request. For contracts, Federal Procurement Regulations or Contract procedures of Public Law 93-638 may apply; for grants, costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Tribe is strongly encouraged to discuss its needs with Agency or Area representatives prior to final submission of request. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Each Area of the Bureau establishes procedure applicable to tribes within its Area. All tribal requests are submitted to Area Director for processing.

**Award Procedure:** Requests are processed for approval within each Area in accord with established procedures.

**Deadlines:** Requests may be submitted at any time in accord with established procedures.

**Range of Approval/Disapproval Time:** In accord with Area procedures.

**Appeals:** Appeals shall be in accord with 25 CFR 272, Subpart E, Hearings and Appeals, and 25 CFR 2.

**Renewals:** Subject to prior results accomplished and availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Assistance is provided on a continuing basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial status report and performance report as specified in procedures.

**Audits:** To be specified. (Contact the Federal agency).

**Records:** Records to be maintained for 3 years after completion of project activity.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Grants and Contracts) FY 81 $3,243,000; FY 82 est $2,938,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Varies with needs of individual tribes and availability of funds.

**PROGRAM ACCOMPLISHMENTS:** Preparatory activities of initial program commenced. Tribes have accomplished a variety of projects to provide orientation and training of tribal leaders in the implementation of Public Law 93-638; tribes have provided specialized technical assistance to tribal managers, program directors, accountants and other administrative assistance to aid tribes in contracting.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and regulations of the Indian Self-Determination and Education Assistance Act, Federal Register, Tuesday November 4, 1975.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact Agency or Area Office for information and assistance in application.

**Headquarters Office:** Division Chief, Jay Suagee, Office of Indian Services, Division of Self-Determination Services, 18 and C Streets, N.W., Washington, DC 20240. Telephone: (202) 343-2706.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Tribe requests and receives training in financial management and control systems. Tribe requests workshop for improving knowledge of BIA program regulations. A tribe updates its membership rolls as basis for service eligibility. A tribe conducts survey and evaluation of Bureau programs in order to propose program modification.

**CRITERIA FOR SELECTING PROPOSALS:** Eligible proposals funded up to the allocated program amount for each tribal government.

## 15.144 INDIAN CHILD WELFARE ACT—TITLE II GRANTS

**FEDERAL AGENCY:** BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** The Indian Child Welfare Act; November 8, 1978; Public Law 95-608; 92 Stat. 3075; 25 U.S.C. 1901; 25 CFR 23.

**OBJECTIVES:** To promote the stability and security of Indian tribes and families by the establishment of minimum Federal standards for the removal of Indian children from their families and the placement of such children in foster or adoptive homes and providing assistance to Indian tribes in the operation of child and family service programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Operation and maintenance of counseling facilities, family assistance (homemaker and home counselers) day care, after school care, recreational activities, respite care, employment of tribal courts personnel, education and training, foster care subsidy programs, legal advice and representation, home improvement programs, preparation and implementation of child welfare codes, and providing matching share for other programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The governing body of any tribe or tribes, or any Indian organization, including multi-service centers, may apply individually or as a consortium for a grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Written resolution of governing body and submit grant application.

**Award Procedure:** Grant application is approved or disapproved, ranked and prioritized within the Area Office jurisdiction and transmitted to Central Office for final award process.

**Deadlines:** Subject to periodic announcement in the Federal Register.

**Range of Approval/Disapproval Time:** 30 days.

**Appeals:** An appeal from a decision by the Agency Office may be taken to the Area Office; an appeal from the Area Office may be taken to the Commissioner of Indian Affairs.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Grant will be awarded for a 12 month period, starting April 1 1982, and ending on March 31, 1983.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** 6 month monitoring report, project year end final report, programmatic and fiscal reports.

**Audits:** Project year end final audit performed by Grants Office Representative (GOR).

**Records:** As required by Grant Award.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-452.

**Obligations:** (Grants) FY 81 $9,300,000; FY 82 est $9,600,000; and FY 83 est $7,700,000.

**Range and Average of Financial Assistance:** May range from approximately $25,000 upward depending upon numbers of clientele to be served.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, 158 grants were awarded and 181 grants were awarded in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Register/Vol. 44 No. 148/Tuesday, July 31, 1979 and Federal Register/Vol. 44, No. 228, Monday, November 26, 1979.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Information can be secured from the Superintendents of Indian Agencies, and from Area Directors. (See Catalog Appendix IV for addresses).

**Headquarters Office:** Division of Social Services, Office of Indian Services, Bureau of Indian Affairs, 1951 Constitution Ave., Washington, DC 20245. Telephone: (202) 343-6434. Contact: Raymond V. Butler, Code 450.

**RELATED PROGRAMS:** 15.103, Indian Social Services—Child Welfare Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Eastern Cherokee (North Carolina) Comprehensive Child Welfare Program.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria for selecting proposals are listed under 25 CFR 23.25, and include. 1) Proposals which best promote the purposes of Title II of the Act taking into consideration the identified statistical need for child and family service programs of the applicant, 2) The relative accessibility which the Indian population to be served has to existing child and family service programs, and 3) The extent to which the proposed program would duplicate any existing child and family service programs emphasizing the prevention of Indian family breakup. Grants for on and near reservation shall be limited to the governing body of the tribe to be served, while preference for grants to off-reservation programs will be given to organizations demonstrating substantial support from the Indian community to be served.

# BUREAU OF LAND MANAGEMENT

## 15.206 MINERAL PRIVILEGES

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Section 3 and 15 of the Taylor Grazing Act of 1934, as amended; 43 U.S.C. 315a.

**OBJECTIVES:** To allow domestic livestock grazing on public lands through permits and leases.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Section 3 (license) limited to prior users or transfers from prior users. Section 15 (leases) limited to owners of land adjoining public land tracts. The information contained under the Bureau of Land Management heading relates only to public lands which are located in the States listed in connection with the Bureau of Land Management State offices as indicated in the appendix.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Citizen of United States: Section 3 (license): must be an owner of property which qualifies as base property, either through original priority establishment or transfer. Section 15 (leases): must be an owner of adjacent property for preference application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Must prove ownership of base property or ownership of adjoining property, and must be in the livestock business.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication conference with District Office is recommended.

**Application Procedure:** Section 3 (license): requires annual renewal application to local of permit (10 years): on Form 4115-4. Section 15 (leases): requires application at expiration of lease (1-10 years): on Form 4120-1.

**Award Procedure:** Section 3 (license): a permit or license is issued based upon resource situation and preference qualifications. Section 15 (leases): authorization is based upon resource situation and preference qualifications.

**Deadlines:** Section 3--District Offices set individual deadlines. Section 15--Prior to expiration of present lease.

**Range of Approval/Disapproval Time:** 30 days.

**Appeals:** Appeals from adverse action may be made to an examiner and Board of Land Appeals.

**Renewals:** Renewals are available.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of actual grazing use are required.

**Audits:** Validation of eligibility and qualification data is usually required.

**Records:** Records of actual grazing use are required for 12 month period.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1532-0-2-302;14-1109-0-1-302.

**Obligations:** (Cattle and sheep on grazing lands) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the program provided approximately 11.1 million animal unit months of forage resulting in collection of $26,500,000 in grazing fees.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 43 CFR 4000.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Chief, Division of Rangeland Resources, Bureau of Land Management, Department of the Interior, Washington, DC 29240. Telephone: (202) 653-9193.

**RELATED PROGRAMS:** 10.408, Grazing Association Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.207 MINERAL LEASING

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Mineral Leasing Act of 1920, 30 U.S.C. 181, as amended; Mineral Leasing Act for Acquired Lands, 130 U.S.C., 351 et seq; Gesthermal Stream Act of 1970, 30 U.S.C. 1001.

**OBJECTIVES:** To provide for the leasing of federally owned mineral deposits in public lands, acquired lands, military lands and other federally owned lands under such terms and conditions that will protect the national interest by: (1) assuring orderly and timely development of the resource, (2) obtaining fair market value for the resource, and (3) assuring maximum environmental protection.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Leases are made for varying periods of time during which the lease-holder has the right to extract or remove the minerals for which the lease is issued. Number of acres which can be held under lease is limited by the Act depending on the mineral involved. The information contained under Bureau of Land Management heading relates only to public lands and federally ownded minerals which are located in the States served by Bureau of Land Management regional offices as indicated in the appendix.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Citizens of the United States, associations of such citizens including partnerships, domestic corporations organized under the laws of the United States or any State thereof, and municipalities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of eligibility including articles of incorporation, articles of association, articles of partnership, etc. Also, in certain instances power of attorney, surety bonds.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This program may require the submission of an environmental impact statement.

**Application Procedure:** Mineral lease applications are filed on forms as specified in Title 43 Code of Federal Regulations Part 3000 et seq. The first year's rental is required to be paid in advance. A $10 service charge is required to be submitted with non-competitive applications; a $50 service charge is required to be submitted with each non-competitive geothermal resources lease application.

**Award Procedure:** Applications for mineral leases are processed by the proper Burea of Land Management office. Environmental analysis is accomplished and environmental impact statement prepared if necessary. Land status is checked to see if the lands applied for are available for leasing. Application is checked for completeness, eligibility and supporting documents.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 to 180 days; if an environmental impact statement is required, approximately 1 year.

**Appeals:** Appeals from adverse actions may be made to the Board of Land Appeals, Office of Hearings and Appeals as specified in 43 CFR Part 4.

**Renewals:** Mineral leases may be extended or renewed as provided by the Regulations 43 CFR Part 3000 et seq.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Land rentals are charged, and royalities are payable on minerals removed.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** As of the end of fiscal year 1980, out of the 500 million acres of federally owned land available for leasing, approximately 112 million acres were under lease for oil and gas. Of the 60 million acres of federally owned land potentially valuable for geothermal purposes 1,500 leases are currently in effect, covering 2 1/2 million acres.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 43 CFR 1840; 43 CFR 3000-3500; 43 CFR 23.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Chief, Division of Onshore Energy Resources, Bureau of Land Management, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-2718.

**RELATED PROGRAMS:** 15.800, Geologic and Mineral Resource Surveys and Mapping.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.214 NON-SALE DISPOSALS OF MINERAL MATERIAL

### (Free Use of Mineral Material)

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Materials Act of July 31, 1947; Public Law 80-291; 30 U.S.C. 601-604, 611, as amended.

**OBJECTIVES:** To permit free use of certain mineral material from federally owned lands under the jurisdiction of the Bureau by governmental units and nonprofit organizations.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Free use permits are granted to governmental units without regard to number of permits or value of mineral material, provided the mineral material is for use on a public project. Permits are granted to nonprofit organizations for mineral material having an inplace value not to exceed $100 during any one calendar year. All free-use mineral material must be extracted in accordance with approved conservation practices, terms, and conditions that provide for protection of environment and rehabilitation of any damage caused by mineral material extraction.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any Federal or State agency, unit, or subdivision, including municipalities, where material will be used for public project; or any nonprofit association or corporation which does not own or control an adequate supply of the mineral material to meet the need for which the free-use permit is requested. Mineral material applied for must be for applicant's own use and may not be bartered or sold.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of eligibility, i.e., nonprofit status, delegation of authority for signing official to take such action, surety bond, etc.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This program may require submission of an environmental impact statement.

**Application Procedure:** Submit two copies of application on Form 5510-10 to the proper Bureau of Land Management office.

**Award Procedure:** If mineral material is available, applicant is qualified and application does not conflict with other management practices or uses, application is approved and one copy of the executed form is returned to the applicant. Environmental analysis is accomplished and environmental impact statement is prepared if necessary.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies.

**Appeals:** Appeals may be made to the Board of Land Appeals, Office of Hearings and Appeals as specified in 43 CFR Part 4 et seq.

**Renewals:** Permits to governmental units may be extended for such period as appropriate not to exceed a total of 10 years. Permits to nonprofit organizations may be extended for a period not to exceed 1 year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** (Free-Use Permits Issued) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 864 free use permits were issued involving resources valued at $18,264,672.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 43 CFR 3620; 43 CFR 23; 43 CFR Part 4.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Chief, Division of Mineral Resources, Bureau of Land Management, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-8537.

**RELATED PROGRAMS:** 15.215, Sale of Mineral Material.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.215 SALE OF MINERAL MATERIAL

### (Mineral Material Disposal)

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of July 31, 1947; Public Law 80-291; 30 U.S.C. 601-604, 611, as amended.

**OBJECTIVES:** To sell certain mineral material from federally owned lands under jurisdiction of the Bureau at not less than the appraised price.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Mineral material may be sold upon request of any interested party or upon the authorized officer's own initiative. No sale will be made where damage to public lands and resources would exceed benefits derived from such sale. Sound conservation, environmental protection and rehabilitation practices must be exercised by the contractor or his agent in removal of mineral material. Duration and production contracts shall provide for periodic reappraisal of mineral material. Other contracts are issued for a period not to exceed 2 years, but upon reappraisal extensions may be granted for a period not to exceed 1 year.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A bidder or purchaser must be (1) an individual who is a citizen of the United States; (2) a partnership; (3) an unincorporated association composed wholly of such citizens; (4) a corporation authorized to transact business in any State in which mineral material is located.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of qualifications, ability to perform obligations of contracts, and surety bond.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This program may require the submission of an environmental impact statement.

**Application Procedure:** Mineral materials are sold by either competitive or noncompetitive sale after the authorized officer has determined: (1) public and competitive interest; (2) need for resource; (3) use of resource; (4) alternative sites; (5) extent of probable damage to land and resources; (6) benefits derived from sale, (7) terms and conditions for sale including bonding requirements, and (8) size or value of sale. Each bid for competitive sale must be accompanied by a bid deposit of not less than 10 percent of the appraised value of the mineral material offered.

**Award Procedure:** All sales made on contract forms approved by the Director of BLM. Environmental analysis is accomplished and environmental impact statement is prepared if necessary. The authorized officer may include additional provisions in the contract to cover conditions peculiar to the sale area. Regarding competitive sales the purchaser must sign and return the contract within 30 days after receipt, together with any required performance bond, and other requirements specified by the Authorized Officer in the Notice of Sale.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies.

**Appeals:** Appeals may be made to the Board of Land Appeals, Office of Hearings and Appeals as specified in 43 CFR Part 4, et seq.

**Renewals:** Contracts may be extended for periods not to exceed 1 year when justified to the authorized officer, and upon appraisal of the value of the mineral material.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each purchaser is required to make a report of operations including reclamation progress under his contract with each installment payment or annually and to provide verification of the amount of material removed when requested by the authorized officer.

**Audits:** Authorized officer may audit records any time to determine the quanity, quality and value of mineral material removed, and progress of the reclamation program.

**Records:** Purchaser must maintain records determined by the authorized officer to be public interest such as (1) maps, (2) cross sections, (3) weight slips, (4) truck tallies, or (5) other forms of measurement as required and a current mining plan.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 355 sales contracts were issued involving resources valued at $4,410,712.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 43 CFR 23; 43 CFR 1840; 43 CFR 3600.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Chief, Division of Mineral Resources, Bureau of Land Management, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-8537.

**RELATED PROGRAMS:** 15.214, Non-Sale Disposals of Mineral Material.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.217 COOPERATIVE AGREEMENTS WITH INTERPRETIVE ASSOCIATIONS

### (Interpretive Associations)

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of October 21, 1976, Public Law 94-589; 43 U.S.C. 1701-1782.

**OBJECTIVES:** To provide for mutually beneficial nonprofit sale of interpretive and environmental education items at BLM facilities.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Interpretive Associations may be authorized, through cooperative agreements, to utilize BLM facilities, equipment and personnel in the nonprofit sale of interpretive and environmental education items. All such actions by Interpretive Associations are subject to review and approval by BLM and must be for the purpose of furthering BLM interpretive or environmental education purposes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Interpretive Associations which are incorporated with tax-exempt nonprofit status and are authorized to do business in the State for which the agreement is made.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Associations must be organized under Section 501 of the Internal Revenue Code for purposes of assisting with interpretive and educational activities.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants should coordinate with appropriate BLM staffs to negotiate particular services and facilities to be provided by the BLM.

**Application Procedure:** Applicant must enter into a cooperative agreement with the cognizant Contracting Officer.

**Award Procedure:** Cognizant Contracting Officer will sign the agreement.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** Agreements may be renewed at the end of each five year period.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Negotiated in each agreement.

**Length and Time Phasing of Assistance:** Agreements are for 5 years with renewal available.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A complete financial report, including a summary of Association activities must be submitted within 90 days following the end of the fiscal year.

**Audits:** The Comptroller General, or his designee, may review Association records at any time during the term of the agreement.

**Records:** Records must be kept in accordance with standard business practices.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** One agreement in effect to date.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 43 CFR 8372.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for list of BLM State Offices.

**Headquarters Office:** Chief, Division of Recreation, Cultural and Wilderness Resources, Bureau of Land Management, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-9353.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.218 SPECIAL RECREATION PERMITS

### (Recreation Permits)

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of October 21, 1976, Public Law 94-579 (as amended), 43 U.S.C. 1701-1782; Public Law 88-578 (as amended), 16 U.S.C. 460 1-6A ; 43 CFR 8372.

**OBJECTIVES:** To provide for collection of fees for certain uses of lands administered by the Bureau of Land Management (BLM) to ensure effective management of those uses.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Special recreation permits are required for recreational use of BLM administered land where such use is (a) commercial use, (b) competitive use, (c) off-road vehicle events involving 50 or more vehicles, and (d) special area use where the authorized officer determines the criteria of the Land and Water Conservation Fund Act, as amended, the Sikes Act, the Wild and Scenic Rivers Act, Federal Land Policy and Management Act, the Taylor Grazing Act, or National Trails Act require their insurance. With the exception of use in special areas, special recreation permits are not required for recreational use by individuals, or individual immediate families.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual, group, or association of individuals; any corporation organized under the laws of the United States, or of any State, authorized to do business in the State in which the land is located; and State or any local subdivision or instrumentality thereof, including counties and municipalities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The program may require the submission of an environmental impact statement. Proof of insurance may also be required.

**Application Procedure:** Application must be filed at the appropriate BLM office (See appendix for list of BLM offices) on BLM form 8370-1 "Special Recreation Application and Permit". Applicants for commercial or competitive uses must include a non-refundable $10 filing fee with their application.

**Award Procedure:** The appropriate office processes the application, makes necessary field investigations, accomplishes necessary environmental analysis and issues the permit.

**Deadlines:** The application must be filed in the office of the Bureau having jurisdiction over the lands to be used. The application must be filed a minimum of 120 days in advance of intended use unless a shorter time is authorized by the authorized officer. Applications may be filed by mail or in person. The authorized officer may establish a maximum time by which applications will be accepted prior to date of proposed use.

**Range of Approval/Disapproval Time:** Within 30 days of the filing date or within 15 days of the desired use date, whichever is earliest, the authorized officer informs the applicant if the decision on issuing the permit will be delayed.

**Appeals:** Appeals from adverse actions may be made under 43 CFR Part 4.

**Renewals:** Permits are not renewable. Any additional use must be authorized under a new permit.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Use fees are charged in accordance with 43 CFR 8372.

**Length and Time Phasing of Assistance:** The term is determined by the authorized officer.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Post use reports may be required.

**Audits:** Permitees must allow authorized BLM personnel to review records pertaining to the permits.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Approximately 3,500 permit applications are received annually. Nearly all are accommodated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Permit procedures are found in 43 CFR 8372.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix IV for list of BLM offices.

**Headquarters Office:** Chief, Division of Recreation, Cultural and Wilderness Resources, Bureau of Land Management (420), Department of the Interior, Washington, DC 20240. Telephone: (202) 343-9353.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Permit applications must conform to approved land use plans and be environmentally acceptable.

## 15.219 WILDLIFE HABITAT MANAGEMENT TECHNICAL ASSISTANCE

### (Sikes Act Wildlife Program)

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Sikes Act of 1974, Title II as amended; 88 Stat. 1369; 16 U.S.C. 679 et seq; Federal Land Policy and Management Act of 1976; 90 Stat. 2743; Title III, Sec 307; 43 U.S.C. 1737; Sec. 308; 43 U.S.C. 1738.

**OBJECTIVES:** To plan, develop, maintain, and coordinate programs for the conservation and rehabilitation of wildlife, fish and game on lands administered by the Bureau of Land Management (BLM). Such programs include, but are not limited to, specific habitat improvement projects and related activities and adequate protection for species considered threatened or endangered.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Assistance to utilize those methods and procedures to protect, conserve, and enhance fish and wildlife species and their habitats on lands administered by the BLM. Such methods and procedures shall include, but not be limited to, the use of funds, services, property, personnel, and equipment for the following activities associated with scientific resources management, propagation, live trapping and transplantation, regulated taking, inventory, studies, monitoring, evaluation, planning, and environmental assessment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State wildlife and/or State fish and game agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** There must be factual evidence of the need for assistance.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State wildlife agencies must first coordinate and obtain approval of their application with the BLM State Director, under whose jurisdiction they desire to seek assistance.

**Application Procedure:** Generally in the form of a letter to the BLM State Director (see Catalog address Appendix IV) stating the need for assistance and requesting the services available.

**Award Procedure:** After considering prior commitments and obligations, the State wildlife agency will generally be informed by letter.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None, but as expeditiously as possible.

**Appeals:** Not applicable.

**Renewals:** A formal agreement is entered into with the State wildlife agency, no time limit.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports are submitted annually. Progress reports are considered to be advisable, at the discretion of the BLM State Director.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Technical assistance to 12 State wildlife agencies in the Western United States is estimated to be $900,000 in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Interim guidelines are available in the form of BLM Instruction Memoranda and Bureau Manual Sections.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address Appendix IV.

**Headquarters Office:** Division of Wildlife (240), Bureau of Land Management, Department of the Interior, 18th and C Streets, N.W., Washington, DC 20240. Telephone: (202) 343-4843.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria for selecting proposals are based upon their applicability to the Sikes Act and futherance of related fish and wildlife habitat management consistent with manually developed, BLM-State wildlife agency programs.

## 15.220 LAW ENFORCEMENT
### (Cooperative Law Enforcement)

**FEDERAL AGENCY:** BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Federal Land Policy and Management Act, Public Law 94-574.

**OBJECTIVES:** To provide financial assistance to States and units of local government in carrying out public safety and resource protection on the public lands.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Only used in counties that contain public lands managed by Bureau of Land Management.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments having jurisdiction in specific geographic area to be covered in application.

**Beneficiary Eligibility:** Criminal Justice Agency with jurisdiction in the county which contains public lands.

**Credentials/Documentation:** Criminal Justice Agency must meet police officer standards and training (post) requirements within their State. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Contact with BLM management and law enforcement personnel in area of jurisdiction.

**Application Procedure:** Application submitted to BLM State Office in area of jurisdiction.

**Award Procedure:** Cognizant Contracting Officer makes award to the Criminal Justice Agency.

**Deadlines:** Applications can be submitted at any time.

**Range of Approval/Disapproval Time:** 60 - 90 days.

**Appeals:** None.

**Renewals:** Every five (5) years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Incident and Arrest Report. Quarterly Financial Report.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform requirements for grants to State and local governments", audits shall be made of organizations carrying out this program at least every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Incident Reports. Arrest Reports. Patrol Logs.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1109-0-1-302.

**Obligations:** (Grants) FY 81 $150,000; FY 82 est $284,000; and FY 83 est $550,000.

**Range and Average of Financial Assistance:** $2,000 - $50,000; $7,000.

**PROGRAM ACCOMPLISHMENTS:** New program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** State Penal Code.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Special Agent In Charge, State Office - BLM.

**Headquarters Office:** Chief, Resource Protection Staff, Bureau of Land Management, Washington, DC 20240.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Public Safety, McCain Valley, San Diego Co., California. Timber theft, Oregon Archaeological theft, Utah Vegetation theft, Arizona Public Safety, Arizona.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are reviewed to determine compliance with guidelines.

## 15.250 REGULATION OF SURFACE COAL MINING AND SURFACE EFFECTS OF UNDERGROUND COAL MINING

**FEDERAL AGENCY:** OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:** To protect society and the environment from the adverse effects of surface coal mining operations consistent with assuring the coal supply essential to the Nation's energy requirements.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grants for permanent program development are available for staff and related costs in connection with preparing State legislative proposals; preparing State regulations; preparing permanent program applications to the Office of Surface Mining Reclamation and Enforcement; and for other related purposes. Technical assistance is available on any aspect of regulating surface impacts of coal mining. Small operator assistance is available to those eligible operators (less than 100,000 tons annual coal production) and is limited to providing a determination of probable hydrologic consequences and a statement of the results of test borings and core samples for the operators' permit. Work is performed through designated State agencies by qualified laboratories. Costs are assumed by the regulatory authority. Administration and Enforcement Grants are awarded to assist States that have received approval of permanent regulatory programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State governor designated agencies, small operators, coal mining operations. Eligibility for small operator assistance is determined by production of less than 100,000 tons of coal annually at all mining locations.

**Beneficiary Eligibility:** State agencies responsible for regulation, reclamation and enforcement of provisions protecting the environment from negative effects of coal mining operations. Coal mining operations with annual production of less than 100,000 tons total at all mining locations may apply for financial assistance in meeting certain permit application requirements.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an Opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). The governor of a State designates an agency to act as recipient of the grant. Small operator assistance program applicants must substantiate total annual production of less than 100,000 tons of coal at all mining locations. Costs will be determined in accordance with OMB Circular No. A-87 for State governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. These applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Small operators are required to submit assistance applications. Both State and small operator applications must meet specific criteria described in the Federal Register, 30 CFR Part 725, 735 and 795, Volume 42, No. 239, dated Tuesday, December 13, 1977. Copies of the regulations and applications are available from the Office of Surface Mining Reclamation and Enforcement, Department of the Interior, Washington, DC 20240.

**Award Procedure:** For State grants, approval by Office of Surface Mining Reclamation and Enforcement headquarters is required and will be evidenced by a notice of award and entering an approved award in the grant payment (letter of credit) process. After approval Small operator assistance payments will be in the form of a contract award to an approved laboratory and a notice to the small operator. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular No. 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Estimated at 1 to 3 months.

**Appeals:** Not applicable.

**Renewals:** Annual applications required for grants; not applicable for small operators.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Permanent program development grants and administration and enforcement grants are limited to 80 percent of costs in the first year, 60 percent in the second, and 50 percent thereafter.

**Length and Time Phasing of Assistance:** All grants are annually renewable. Administration and enforcement grants are issued upon approval of a permanent program in the State. Small operator assistance payments are made to qualified laboratories for services rendered to qualified small operators.

**POST ASSISTANCE REQUIREMENTS.**

**Reports:** Annual reports as outlined in OMB Circular No. A-102 are required.

**Audits:** Audits will be made in accordance with the policies of OMB Circular No. A-73 and A-102 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Records will be maintained in accordance with the provisions of OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1801-0-1-302; 14-1802-0-1-302.

**Obligations:** FY 81 $27,706.234; FY 82 est $30,000,000; and FY 83 est Not available. (includes all State grants except SOAP grants) (Small Operator Assistance) FY 81 $6,265,221; FY 82 est $7,400,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Program Development $4,800 to $251,254. Small Operator Assistance $4,000 to $7,700,000; Administration and Enforcement, $42,370 to $3,955,000; $500,000.

**PROGRAM ACCOMPLISHMENTS:** See Examples of Funded Projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Register, Volume 42, No. 239, Tuesday, December 13, 1977.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix IV.

**Headquarters Office:** State Grants and Small Operator Assistance: William B. Schmidt, Assistant Director, Program Operation and Inspection, Office of Surface Mining Reclamation and Enforcement, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-4225. Technical Assistance: Dean Hunt, Assistant Director, Technical Services and Research, Office of Surface Mining Reclamation and Enforcement, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-4264.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Governor designated State agencies such as the Texas Railroad Commission, North Dakota Public Service Commission, Arkansas Department of Pollution Control and Ecology, Colorado Department of Natural Resources and the Montana Department of State Lands have received grants to implement approved permanent regulatory programs as provided by the Surface Mining Control and Reclamation Act of

1977. Seventeen State agencies were awarded grants to help fund the development of a State program to regulate the surface efforts of coal mining.

**CRITERIA FOR SELECTING PROPOSALS:** Designated agencies that choose to comply with the Surface Mining Reclamation and Enforcement Provisions, Parts 725, 735, and 795 (Federal Register, Vol. 423, No. 239 - Tuesday, December 13, 1977) are eligible for awards. Criteria for amounts awarded are the State's need relative to other eligible States.

## 15.252 ABANDONED MINE LAND RECLAMATION (AMLR) PROGRAM

### (Abandoned Mine Lands)

**FEDERAL AGENCY:** OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Surface Mining Control and Relamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:** To protect the public and correct the environmental damage caused by coal and noncoal mining practices that occurred before August 3, 1977.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** State and Indian Reclamation Program (SIRP) (Project Grants): Indian tribes are considered as States for the purpose of this program. Project Grants are restricted to lands and water mined or affected by mining processes that occurred before August 3, 1977, and are defined as "eligible lands." Eligible lands include coal mining and related processes as well as noncoal mining and related processes. A State with eligible lands, and active coal mining operations contributing to the Abandoned Mine Reclamation Fund may submit a State reclamation plan to the Office of Surface Mining for approval. After State regulatory program approval the State reclamation plan can be approved, and the State may submit annual reclamation programs and project grant requests to the Office of Surface Mining. The State's allocated share of the Abandoned Mine Reclamation Fund is used to fund approved project grant requests. Federal Reclamation Program. Federal reclamation projects are conducted on eligible lands; however, noncoal projects are restricted to those instances where the Governor of the State requests noncoal reclamation; the Director of the Office of Surface Mining makes a finding that the reclamation is neccessary; and money to support the reclamation is available from the State's allocation of the Abandoned Mine Reclamation Fund.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and Indian Reclamation Program (Project Grants): The program is restricted to States and Indian Tribes with eligible lands and with coal mining operations within their borders that are paying coal reclamation fees into the Abandoned Mine Reclamation Fund. Federal Reclamation Program: Federal reclamation projects are conducted on a national basis through cooperative agreements with States and Tribes; local governments, or other recipients, and by direct contracting.

**Beneficiary Eligibility:** State and Indian Reclamation Program (Project Grants): Same as Applicant Eligibility. Federal Reclamation Program: Same as Applicant Eligibility.

**Credentials/Documentation:** State Reclamation Program (Administrative and Project Grants): A State/Indian reclamation plan requires the approval of the Director, Office of Surface Mining. A State/Indian grant requires the approval of the Assistant Secretary, Energy and Minerals and the Director. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Federal Reclamation Program: Federal reclamation projects are conducted on a national basis and require Department of the Interior's approval to insure compliance with statutory mandates.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State and Indian Reclamation Program (Project Grants): The procedures of the Abandoned Mine Land Reclamation Program Regulations that were published in the Federal Register, Volume 43, Number 201, Wednesday, October 25, 1978 must be followed. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Federal Reclamation Program. Federal reclamation projects are conducted by following the Abandoned Mine Lands Operations Manual and Guidelines. Please contact the Office of Surface Mining in Washington, DC or the State Office for details.

**Application Procedure:** State and Indian Reclamation Program (Project Grants): Grant applications for projects may be submitted to the Director at any time during the fiscal year for funding for that fiscal year. Administrative grants must be applied for on an annual basis; construction grants may be applied for up to three years. An application for funding during the fiscal year in which a State Reclamation Plan is approved, may be submitted with the proposed plan for approval when the Plan is approved. Office of Management and Budget Circular No. A-95 notification and review requirements shall be fulfilled for each project included in the grant application. The application format for Federal Assistance Application for Construction Programs and other procedures specified in Office of Management and Budget Circular No. A-102, Attachment M shall be used. Federal Reclamation Program: Federal reclamation projects are funded on a national basis, hence, certain funding procedures are different than for State and Indian program project grants. Contact the Office of Surface Mining for details.

**Award Procedure:** State and Indian Reclamation Program (Project Grants): The Office shall act upon a grant application within 90 days of submittal of a complete application. If the application is not approved, the Office shall set forth in writing the reasons for disapproval and may propose modifications if appropriate. The agency may resubmit the application or appropriate revised portions of the application. Notification of awards must be made to the designated State/Indian Central Information Reception Agency in accordance with Treasury Circular No. 1082. Federal Reclamation Program: Federal reclamation projects are funded through the Office of Surface Mining evaluation and budgetary processes based on national need and source area of coal reclamation fee revenue.

**Deadlines:** State/Indian Reclamation Program (Project Grants): Grant application may be submitted at any time to the Director, Federal Reclamation Program: Federal reclamation project fund requests have similar time constraints. Contact the Office of Surface Mining for details.

**Range of Approval/Disapproval Time:** State/Indian Reclamation Program (Project Grants): Estimated at 1 to 3 months. Federal Reclamation Program: Federal reclamation projects approved vary from 1 day (Section 410 emergency) to 3 months for a lower priority.

**Appeals:** State/Indian Reclamation Program (Project Grants): A State/Tribe may appeal the Director's decision to reduce or terminate a grant to the Secretary, DOI, no later than 30 days after the Director made the decision. Federal Reclamation Program: Is not applicable to Federal reclamation projects.

**Renewals:** State/Indian Reclamation Program (Project Grants): The grant application is submitted on an annual basis, for administrative grants, and project construction grants may be awarded for up to 3 years and renewed as appropriate. Federal Reclamation Program: Federal reclamation projects are considered on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** State/Indian Reclamation Program (Project Grants): Grants are based on fifty percent of the reclamation fees collected in a State; however, States/Tribes may be granted additional funds. Federal Reclamation Program: Federal reclamation project funds are authorized at a level of approximately twenty percent of the reclamation fees collected.

**Length and Time Phasing of Assistance:** State/Indian Reclamation Program (Project Grants): Grant periods are variable; however, under normal conditions, funds must be expended 3 years after allocation. Federal Reclamation Program: Assistance is not applicable to Federal reclamation projects.

## POST ASSISTANCE REQUIREMENTS:

**Reports:** State/Indian Reclamation Program (Project Grants): Quarterly performance and financial reports are required. Federal Reclamation program: Annual performance and Financial reports are required.

**Audits:** State/Indian Reclamation Program (Project Grants): Recipient must arange for an audit at least once every two years through an independent agency. Federal Reclamation Program: Audits will be conducted periodically.

**Records:** State/Indian Reclamation Program (Project Grants): Records will be maintained in accordance with OMB Circular No. A-102.

## FINANCIAL INFORMATION:

**Account Identification:** 14-5015-0-2-302; 14-5015-0-2-302.

**Obligations:** State/Indian Reclamation (Project Grants): FY 81 $78,000,000; FY 82 est $70,000,000; and FY 83 $130,000,000. Federal Reclamation Program: FY 81 $9,090,000; FY 82 est $25,000,000; and FY 83 est $8,000,000.

**Range and Average of Financial Assistance:** State/Indian Reclamation Program (Project Grants): Two reclamation grants have been awarded under this new program for $10.2 million. Two administrative grants have been awarded for $2.0 million and seven States have submitted grant applications for awards totalling $35.4 million. Federal Reclamation Program: Assistance is not applicable to Federal Reclamation projects.

**PROGRAM ACCOMPLISHMENTS:** State Reclamation Program (Project Grants): 23 States/Tribes have received planning moneys to prepare their reclamation plan and 17 States have received planning money for the first annual work plans. Federal Reclamation Program: Approximately 515 reclamation projects have been initiated, and the National Abandoned Mine Lands inventory will be completed by the end of fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Register Vol. 43, No. 201 Wednesday, October 25, 1978 Part II. Abandoned Mined Lands Operational Manual, July 2, 1979. Guidelines for Reclamation Programs and Projects, Federal Register vol. 45, No. 46, Thursday, March 6, 1980.

## INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Office of Surface Mining, Division of Abandoned Mined Lands Reclamation, 1951 Constitution Avenue, N.W., Washington, DC 20245. Telephone: (202) 343-5881, 800-424-9596. Contact: Charles L. Crawford, SIRP; Lew McNay, Federal Reclamation Program.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** State/Indian Reclamation Program (Project Grants): Reclaiming gob piles, tipples, landslides, and mine openings. Federal Reclamation Program: Mine subsidence (emergency and extreme dangers), underground mine fires, burning refuse banks, flooding dangers, acid mine drainage, and dangerous impoundments.

**CRITERIA FOR SELECTING PROPOSALS:** Section 403 of Public Law 95-87, cited Abandoned Mine Land Reclamation Program regulation, and approved States/Indian Reclamation plans.

# WATER AND POWER RESOURCES SERVICE

## 15.501 IRRIGATION DISTRIBUTION SYSTEM LOANS

### (Public Law 130 Loans; Distribution System Loans)

**FEDERAL AGENCY:** BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Distribution System Loans Act; Public Law 84-130; 43 U.S.C. 421 b,c.

**OBJECTIVES:** To provide fully reimbursable Federal loans to organized irrigation districts with lands included within congressionally authorized Reclamation projects to plan, design, and construct irrigation and municipal and industrial water distribution or drainage systems in lieu of Federal construction.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Construction of irrigation, drainage and associated municipal and industrial water supply systems only. Projects must have been previously authorized for construction under Reclamation law and located in the 17 westernmost contiguous States. No statutory limitation on loan amounts unless specified in the authorizing act. All project-required rights-of-way and other item costs up to 10 percent of project cost must be contributed. Costs allocated to municipal and industrial water supply are interest bearing.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Irrigation district must be organized under State law and eligible to contract with the United States; must have water service contract with the Bureau of Reclamation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** An application report prepared at applicant's expense demonstrating engineering feasibility and ability to repay loan within authorized project time, normally about 40 years.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant should file notice of intent to apply for a loan according to procedures outlined in Part I of OMB Circular No. A-95 (revised), with appropriate regional office of the Bureau of Reclamation listed in the appendix, and with the State clearinghouse. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Copies of notice also should be forwarded to the Environmental Protection Agency and to the Fish and Wildlife Service. An environmental impact assessment is required for this program.

**Application Procedure:** There are no application forms. Prepare engineering application report using own staff or engineering consultants with assistance, as needed, from appropriate Bureau of Reclamation Regional office where application will be filed.

**Award Procedure:** Subsequent to application approval, repayment contract must be executed. Funds are obtained on an annual basis through regular congressional appropriation procedures for each individual project.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 1 to 3 months.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Applicants must contribute all costs for preparation of loan application report and up to 10 percent of total project cost including money, labor, lands, or interests in lands to be used for project purposes.

**Length and Time Phasing of Assistance:** As necessary for project construction with no set time limit and with 40 years or less for repayment of loan. Money is advanced from annual appropriations by the Congress.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Application report, annual operation and financial statements, and crop reports. Federal inspection during construction and a biennial or triennial review of maintenance.

**Audits:** Completion of construction audit to determine final loan obligation.

**Records:** Double entry bookkeeping system or similar throughout life of loan repayment period; separate bank account during construction.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0667-0-1-301.

**Obligations:** (Loans) FY 81 $204,000; FY 82 est $2,500,000; and FY 83 est $7,253,000.

**Range and Average of Financial Assistance:** $3,760,000 to $19,900,000; $10,000,000.

**PROGRAM ACCOMPLISHMENTS:** Almost $110 million has been authorized under the program for 15 irrigation districts since 1956. Over 360,000 acres of land will benefit from irrigation systems constructed. Two applications were received in fiscal year 1981. No new awards were made in fiscal year 1981. No new awards are expected to be made in fiscal years 1982 and 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Brochure Distribution System Loans Act- Public Law 84-130. No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Director, Bureau of Reclamation. For addresses, see Catalog appendix IV.

**Headquarters Office:** Commissioner, Bureau of Reclamation, Department of the Interior, Washington, DC 20240. Contact: Loan Officer, Telephone: (202) 343-5501.

**RELATED PROGRAMS:** 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 15.503, Small Reclamation Projects.

**EXAMPLES OF FUNDED PROJECTS:** All - Construction of irrigation lateral systems on authorized Federal projects.

**CRITERIA FOR SELECTING PROPOSALS:** Must have a contract for water service with the Bureau of Reclamation. Must demonstrate financial feasibility. Applications processed in order received. Funds available after execution of repayment contract and appropriations by the Congress.

## 15.502 IRRIGATION SYSTEMS REHABILITATION AND BETTERMENT

### (R&B Program)

**FEDERAL AGENCY:** BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Rehabilitation and Betterment Act of 1949; Public Law 81-385, as amended; 43 U.S.C. 504.

**OBJECTIVES:** To rehabilitate and improve irrigation facilities on projects governed by Reclamation law and projects constructed under the authority of the Small Reclamation Projects Act of 1956.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Funds may be used for rehabilitation of existing irrigation systems on Reclamation projects only in the 17 westernmost contiguous States and on projects constructed under the Small Reclamation Projects Act in the 17 westernmost contiguous States and Hawaii. Funds cannot be used to initiate new construction. All other non-Federal irrigation projects are not eligible. Funds for work on Reclamation projects are interest-free; however, funds used for small reclamation projects may be interest-bearing. All funds are repaid by the contracting entity in annual installments pursuant to the water users ability to pay as determined by the Secretary of the Interior, taking into account the outstanding obligations of the organization.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any water users organization whose irrigation facilities were constructed by the Bureau of Reclamation and to which the United States holds title, and any water users organization on non-Federal projects constructed under the Small Reclamation Projects Act of 1956.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must demonstrate engineering feasibility, that the proposed work is not new construction, and that the work cannot be financed currently as normal operation and maintenance work.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An environmental impact assessment is required for this program.

**Application Procedure:** Preparation of report by applicant, or by the Bureau of Reclamation, demonstrating the need for the work, financial assistance required, and repayment ability. Reports should be submitted to regional offices of the Bureau of Reclamation.

**Award Procedure:** Funds appropriated by the Congress are either advanced to the contracting entity or used by the Bureau of Reclamation to carry out the approved work program. Advancement of funds is contingent upon a valid contract to repay all funds advanced.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 12 to 18 months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Payments from the United States are made quarterly based on annual projections of cost of work.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Review of design, plans, and specifications prior to undertaking construction.

**Audits:** Completion of construction audit to establish final obligation for repayment by the contracting entity.

**Records:** Annual accounting, periodic engineering facility review, and annual or semiannual payment of financial obligations.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-5061-0-2-301.

**Obligations:** (Loans) FY 81 $3,509,000; FY 82 est $10,109,000; and FY 83 est $26,600,000.

**Range and Average of Financial Assistance:** Average $2,000,000; (no new contracts were executed in FY 1981 and only one executed to date in FY 1982).

**PROGRAM ACCOMPLISHMENTS:** More than $162.2 million has been authorized for rehabilitation of 79 projects since 1949. For fiscal year 1982, 15 projects are expected to be funded, and 18 projects in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Rehabilitation and Betterment Program" brochure available at no charge from regional directors (see address appendix).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Director, Bureau of Reclamation. For addresses see appendix.

**Headquarters Office:** Commissioner, Bureau of Reclamation, Department of the Interior, Washington, DC 20240. Contact: Senior Staff Assistant for Water Operations, Telephone: (202) 343-5471.

**RELATED PROGRAMS:** 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 15.503, Small Reclamation Projects.

**EXAMPLES OF FUNDED PROJECTS:** All - Rehabilitation of irrigation water conveyance systems on existing reclamation or Public law 84-984 projects.

**CRITERIA FOR SELECTING PROPOSALS:** R&B proposals are processed in order received. Need for a program serves as primary criterion for establishing priority of R&B programs under consideration. No cost ceiling. Funds available after execution of repayment contract and appropriation by the Congress.

## 15.503 SMALL RECLAMATION PROJECTS

### (Small Project Loans)

**FEDERAL AGENCY:** BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Small Reclamation Projects Act; Public Law 84-984 (as amended); 43 U.S.C. 422 a-k.

**OBJECTIVES:** To provide fully reimbursable Federal loans and possible grants to public non-Federal organizations for rehabilitation and betterment or construction of water resource development projects located in the 17 westernmost contiguous States and Hawaii.

**TYPES OF ASSISTANCE:** Project Grants; Direct Loans.

**USES AND USE RESTRICTIONS:** Loans and/or grants for calendar year 1982 up to $26,000,000 for projects whose total cost cannot exceed $39,000,000. Contact appropriate regional office for current year amounts. Projects can be single-purpose irrigation or drainage, or multipurpose, including municipal and industrial water supplies, flood control, fish and wildlife, recreation development, and hydroelectric power. Construction grants can be made for costs allocated to flood control and for a portion of the costs allocated to fish and wildlife enhancement and recreation development, if such development is of general public benefit. Loan application report, water rights, and rights-of-way costs must be contributed by applicant.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public non-Federal organizations, organized under State law and eligible to contract with the Federal Government, and who can demonstrate engineering and financial feasibility of project proposal. Private individuals are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** An application report prepared at applicant's expense demonstrating engineering and financial feasibility for the proposed project and ability to repay loan within 40 years.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicant should file notice of intent to apply for loan according to procedures outlined in Part I of OMB Circular No. A-95, and with appropriate regional office of the Bureau of Reclamation listed in the appendix. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Copies of notice must also be forwarded to local offices of the Fish and Wildlife Service, Corps of Engineers for flood control, the Environmental Protection Agency, and State clearinghouse. An environmental impact assessment is required for this program.

**Application Procedure:** There are no application forms. Prepare engineering and economic application report using own staff or engineering consultants with assistance, as needed, from appropriate Bureau of Reclamation Service regional office where application will be filed.

**Award Procedure:** Subsequent to application approval, repayment contract must be executed. Funds are obtained through regular congressional appropriation procedures for each individual project. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies with individual projects, but generally takes more than 1 year.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Applicants must contribute all costs for preparation of loan application report and all costs for acquisition of water rights and rights-of-way. Grants can be made for costs of multi-purpose water resource development allocated to flood control and a portion of the costs allocated to fish and wildlife enhancement and recreational development, if such development is of general public benefit.

**Length and Time Phasing of Assistance:** As necessary for project construction with no set time limit. Up to 40 years for loan repayment. Money is advanced from funds appropriated annually by the Congress.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Application report, annual operation and financial statements, and crop reports; Federal inspection during construction; biennial or triennial review of maintenance.

**Audits:** Completion of construction audit to determine final loan obligation.

**Records:** Double entry bookkeeping system or similar throughout life of loan repayment period; separate bank account during construction.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0667-0-1-301.

**Obligations:** (Grants and loans) FY 81 $17,820,000; FY 82 est $25,150,000; and FY 83 est $34,530,000.

**Range and Average of Financial Assistance:** Loans: $700,000 to $18,000,000; $9,000,000.

**PROGRAM ACCOMPLISHMENTS:** Seventy-eight projects, some still under construction, have been financed under this program. Loans obligated to date total about $400,000,000. Six applications were received in fiscal year 1981. No new awards were funded in fiscal year 1981. No new awards are expected to be made in fiscal years 1982 and 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Small Reclamation Projects Act of 1956" brochure, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Director, Bureau of Reclamation. For addresses, see Catalog appendix IV.

**Headquarters Office:** Commissioner, Bureau of Reclamation, Department of the Interior, Washington, DC 20240. Contact: Loan Officer. Telephone: (202) 343-5501.

**RELATED PROGRAMS:** 10.409, Irrigation, Drainage, and Other Soil and Water Conservation Loans; 15.501, Irrigation Distribution System Loans; 15.502, Irrigation Systems Rehabilitation and Betterment.

**EXAMPLES OF FUNDED PROJECTS:** Replacing irrigation pumping plant and rehabilitation canal. Constructing dam and reservoir and canal rehabilitation. Replacing open canal with pipeline. Drilling irrigation wells, constructing pumps and distribution system. Rehabilitating pumping plants, canals, laterals, and drains for irrigation and municipal uses.

**CRITERIA FOR SELECTING PROPOSALS:** Applications processed in order received. Potential applicants initiate action to apply. Demonstrated financial feasibility for loan repayment. Prerequisites--See text. Seventeen westernmost contiguous States and Hawaii only. Non-Federal organizations with taxing authority--no individuals.

# U.S. FISH AND WILDLIFE SERVICE

## 15.600 ANADROMOUS FISH CONSERVATION

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR; NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:** Anadromous Fish Conservation Act of 1965, Public Law 89-304, as amended by Public Laws 91-249, 93-362; 95-464, and 96-118; 16 U.S.C. 742a - 742j.

**OBJECTIVES:** To conserve, develop, and enhance the anadromous fish resources of the Nation and the fish of the Great Lakes and Lake Champlain that ascend streams to spawn.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Approvable projects include planning, inventory, research, supplements to natural production, fish passage and guidance facilities, sea lamprey control and habitat improvement projects. The Columbia River Basin is excluded.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and other non-Federal interests are eligible. Non-Federal interests are eligible if projects are coordinated with the State agency having jurisdiction over the resource. Nineteen inland States are ineligible. Eligible Non-Federal interests include State, local, nonprofit and individual entities with professional fishery capabilities. Public and private colleges and Indian Tribes are included.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms furnished by the Federal agencies and required by OMB Circular No. A-102 must be used for this program. Environmental assessment is required where actions will sigificantly affect the environment. Applications are subject to State and areawide Clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** A project application is submitted by the applicant to the appropriate regional office listed in the appendix. The forms used are furnished by the two Services. Documentation required is covered in detail in the "Federal Aid Manual." The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure**: The Regional Director approves or disapproves proposed projects. Regional Offices are responsible for notification of grant approval to the grantee by return of a completed agreement or grant-in-aid award. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 10 days.

**Appeals:** Differences of opinion about the substantiality of proposed projects are considered by qualified representatives of the two Federal Services and the State. In the event of continued disagreement, final determination rests with the Secretaries of Interior and Commerce.

**Renewals:** Projects are renewed on an annual basis through approval of a project agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The cooperators must pay entire cost of projects initially after which they may be reimbursed up to 50 percent of the total cost, except whenever two or more States having a common interest in any basin jointly enter into an agreement with the Secretary, or when studies are carried out under Section 7 of the Act, the Federal share of program costs shall be increased to a maximum of 66 2/3 percent.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Performance Report is required on each annual segment within 90 days after the end of the segment.

**Audits:** Audits of internal controls, propriety of costs, and compliance with regulations and legislation are performed at regular intervals.

**Records:** Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of final request for reimbursement.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1612-0-1-303.

**Obligations:** (Grants) FY 81 $3,500,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $6,000 to $632,800; $74,700.

**PROGRAM ACCOMPLISHMENTS:** (U.S. Fish and Wildlife Service) Ten new anadromous fish hatcheries have been constructed and one more is underway. Forty-five fish ladders have been constructed, one dam has been removed, and two additional fish ladder have been renovated to provide upstream passage for migrating anadromous fish. Research under a four-State project to restore Atlantic salmon and American shad in the Connecticut River has resulted in a speeded-up construction schedule for new fishways, bringing about earlier restoration of anandomous fish in upriver sections, and improvements to an existing fish lift at Holyoke, Massachusetts, that have more than quadrupled the number of shad and alewives lifted over this dam. The State of Washington and concerned Indian tribes have developed a computerized program for assessing the anadromous fish harvest in the Boldt decision area. Research under the program has produced a vaccine to immunize juvenile salmon and trout against a saltwater disease known as vibriosis.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations Title 50 part 401- Anadromous Fish Resources, available from Superintendent of Documents, (1973 issue is $2.25).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV.

**Headquarters Office:** Steve Diangelo, Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 632-5166 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 11.405, Anadromous and Great Lakes Fisheries Conservation; 11.407, Commercial Fisheries Research and Development; 15.605, Fish Restoration; 15.612, Endangered Species Conservation.

**EXAMPLES OF FUNDED PROJECTS:** (1) Construction, operation and maintenance of fish ladders, fish hatcheries and fish screens; (2) Surveys of anadromous fish population; (3) Development of vaccines to combat anadromous fish diseases; (4) Development of computerized systems to monitor harvest of anadromous fish; (5) Planning for restoration of Atlantic salmon; (6) Development of fish counters; (7) Study of causes for decline of striped bass.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Fulfills an urgent need of the anadromous fishery resources; (2) Contributes significantly to sport or commercial anadromous fishing; (3) Shows that project plans are complete and feasible; (4) Coordinates with other plans for the waters involved; (5) Assures that all skills and facilities for accomplishing project objectives are available to cooperators; (6) Shows that schedules and budgets are realistic; (7) Shows a favorable Benefits-to-Cost ratio.

## 15.601 ANIMAL DAMAGE CONTROL

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** 7 U.S.C. 426-426b; 16 U.S.C. 703-711.

**OBJECTIVES:** To reduce damage caused by wildlife (birds and mammals) to livestock, crops, forests, wildlife resources; residential, business, and industrial properties; and to reduce threats to human health and safety.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Requests may be made for verbal or written information. Personnel will also assist in teaching short courses. The Service works closely with State departments of Fish and Game, Agriculture, Health, and counties in joint efforts to alleviate wild animal damage. For direct technical assistance, State Fish and Game departments should be contacted.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, Indians, private organizations, and individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Apply through Washington, regional, or any local office.

**Award Procedure:** Response made by appropriate official as provided for under the cooperative agreement governing relationships between Service and State agencies.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Up to 30 days.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $17,894,000; FY 82 est $15,111,000; and FY 83 est $13,414,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The program responds to requests for wildlife borne disease suppression; assists airports in preventing bird-aircraft strikes; responds to requests to protect natural resources and urban facilities. The program provides operational direct services for the protection of livestock in 14 western States, and provides extension services for the alleviation of range, forest, and crop damage due to wildlife in most States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Various leaflets describing control methods for the wildlife species causing losses and/or problems are available.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Associate Director, Wildlife Resources, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-5333. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 10.450, Crop Insurance; 12.100, Aquatic Plant Control; 13.224, Community Health Centers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.602 CONSERVATION LAW ENFORCEMENT TRAINING ASSISTANCE

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fish and Wildlife Coordination Act; 16 U.S.C. 661-666c.

**OBJECTIVES:** To provide training assistance to State conservation officers in criminal law, and the principles, techniques, and procedures of wildlife law enforcement.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Special Agents are available to assist in State conservation law enforcement training efforts as instructors for short periods of time.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies.

**Beneficiary Eligibility:** State conservation law enforcement officers and officials.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Oral or written request to the Associate Director, Wildlife Resources, Washington Office.

**Award Procedure:** Requests are acknowledged, and decisions on training are made according to availability of personnel.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately 15 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $75,000; FY 82 est $82,000; and FY 83 est $82,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1980 plans included development of a detailed course for State Law Enforcement officers in fiscal year 1981, which was accomplished. A similar course is planned for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Law Enforcement Workshop Notebook, Endangered Species Literature.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Associate Director, Wildlife Resources, Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-9242.

**RELATED PROGRAMS:** 16.300, Law Enforcement Assistance—FBI Advanced Police Training; 21.052, Alcohol, Tobacco, and Firearms—Training Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.603 FARM FISH POND MANAGEMENT

### (Farm Pond Stocking)

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fish and Wildlife Coordination Act, as amended, Sections 1 and 6; Public Law 85-624; 16 U.S.C. 661-666c. Fish and Wildlife Act of 1956, as amended, Sections 2, 3(d)(2), and 11; 16 U.S.C. 742a-742j, and the Soil Conservation Act of 1935 (49 Stat. 163; 16 U.S.C. 590 a-f).

**OBJECTIVES:** To serve as an impetus to farm pond construction and water conservation; to supply high-protein food.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Fish are supplied to stock new or reclaimed farm and ranch ponds. Fish are not available for ponds that are currently stocked and less than one-quarter acre in size, subject to any form of commercialization, or apparently biologically incapable of sustaining fish life. Channel catfish are stocked on a one-time basis only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals who own suitable ponds are eligible to receive fish. In general, eligible individually owned ponds are those created with technical and financial assistance of the Department of Agriculture.

**Beneficiary Eligibility:** Pond owners and public. Each applicant for fish is urged to permit controlled public fishing, in accordance with all applicable laws and regulations, in stocked ponds.

**Credentials/Documentation:** Applicants complete form which establishes location, size, and water quality conditions of the pond for which fish are requested.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** In some cases, applications for fish are recommended by the Soil Conservation Service county or district agent.

**Application Procedure:** Application Form (3-1688) is obtained from the local soil conservation field offices, the Fish and Wildlife Service's Washington, regional, or area office and returned to the appropriate FWS regional office on completion.

**Award Procedure:** Regional or Area Biologist review application for duplication of request. Field Biologist inspect pond sites with regard to use restrictions. Fish are stocked in farm ponds, when available, after other higher priority programs have been met applicants are notified (approved) by postcard of time and date for fish deliveries.

**Deadlines:** None. However, in some areas, applications received after July 1 cannot be filled until the following year because of hatchery production schedule.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Approved applications are usually filled within 6 to 9 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None by recipients. Fish and Wildlife Service, State agency, or other organization may conduct special survey of farm ponds in certain locations to determine impact on general sport fishing activity.

**Audits:** Applications are routinely checked to determine if pond has been stocked previously.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $538,000; FY 82 est $565,000; and FY 83 est $257,533.

**Range and Average of Financial Assistance:** $13 to $171; $20 (value of fish donated).

**PROGRAM ACCOMPLISHMENTS:** Approximately 18,060 farm ponds averaging about 1.8 acres in size were stocked in fiscal year 1980. As part of the national sport fishery, farm ponds have supported more than 50 million angler days of fishing annually and it is estimated that about one-fourth of this fishery has been supported by the Federal Farm Pond Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 653-8746. Contact: William Daugherty, Chief, Division of Hatcheries and Fishery Resource Management.

**RELATED PROGRAMS:** 15.604, Fishery Research—Information; 15.605, Fish Restoration; 15.608, Sport Fish Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** 100 channel catfish stocked in 1 acre privately-owned pond. There are 50 largemouth bass, and 500 bluegill, stocked in 1 acre privately-owned pond. There are 75 largemouth bass, 75 channel catfish, 525 bluegill, and 225 redear sunfish stocked in 1 1/2 acre pond. There are 200 channel catfish stocked in 2 acre pond. There are 25 channel catfish stocked in 1/4 acre pond.

**CRITERIA FOR SELECTING PROPOSALS:** The Service participates in the farm pond program by providing the appropriate species of fish, free of charge, to individuals owning ponds developed under the Soil Conservation Service's pond program. Ponds constructed under other programs and privately-constructed ponds are also considered for stocking. The program functions in the 48 contigious States with major emphasis in those of the Southeast. At the present time, the Service stocks only fingerling warmwater fish (largemouth bass, bluegill, redear sunfish, and channel catfish in ponds administered under the farm pond program. Only those ponds considered by qualified biologists (Federal or State) as suitable for sustaining fish populations will be stocked. If a pond is commercialized, already contains fish, or is less than 1/4 acre in size, it does not qualify for stocking and the application is rejected. State stocking policies are given precedence over Service requirements in instances where State standards are more restrictive. Service participation is presently limited to the initial stocking of farm ponds. If subsequent stockings are necessary, the pond owner must obtain his fish from other sources or a commercial dealer. When proper management dictates the reclaiming of a pond by draining or the removal of all fish by chemical means, the pond may be considered new and the owner may request an initial stocking of fish. Current production from National Fish Hatcheries generally is not sufficient to meet priority needs for stocking waters on Federal, Indian, and State lands open to the public for fishing. The Service's Regional personnel review each application on fish stocking and advise each pond owner as to availability of fish for stocking in private waters. If fish cannot be supplied from a National Fish Hatchery, the Regional Office may provide assistance in locating commercial sources for fish.

## 15.604 FISHERY RESEARCH—INFORMATION

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fishery Experiment Station Act of 1958, 72 Stat. 35; 16 U.S.C. 778c; Fish and Wildlife Act of 1956, 70 Stat. 1119, as amended, 16 U.S.C. 742a-742j-Fish Culture, Fish Control; Fish and Wildlife Coordination Act of 1958 (August 12, 1958); 72 Stat. 563; Great Lakes Fishery Act of 1956; 70 Stat. 242; 16 U.S.C. 931-939c; Studies on Sea Lamprey Control and Eradication, Act of August 8, 1956; 60 Stat. 930, as amended.

**OBJECTIVES:** To develop and disseminate information needed for the protection and enhancement of freshwater fishery resources.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Research-expanded knowledge of fishery biology is needed and used primarily to improve the management of public fishery resources, and secondarily to advance related private enterprises.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may apply for technical information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $9,439,000; FY 82 est $9,675,000; and FY 83 $8,804,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Determined that lake trout populations of eastern Lake Superior are dangerously low and developed harvest models of walleye pike and yellow perch in western Lake Erie. Determined that trout fed diets of corn protein supplemented with essential amino acids grew and converted food as fully as those fed a herring meal diet; demonstrated that inbred line crosses of trout were clearly superior strain crosses in initial tests for hatchery growth; developed an indirect fluorescent antibody test for rapid and accurate diagnoses of three fish diseases; and successfully cultured salmonids in a pilot-scale, nearly 100 percent closed-water re-use system. Obtained registration or clearance for fishery use of rhodamine B and fluorescein dyes for measuring stream flows; potassium permanganate as an oxidizing agent; and TFM: Bayer 73 as lampricides. Opened the Fisheries Academy with courses in fish health and fishery management with attendees from Federal, State, university, territorial and foreign agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Technical publications and reprints on many aspects of fishery knowledge are available.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Deputy Associate Director-Research, Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 653-8772.

**RELATED PROGRAMS:** 11.405, Anadromous and Great Lakes Fisheries Conservation; 11.407, Commercial Fisheries Research and Development; 11.413, Fishery Products Inspection and Certification; 15.600, Anadromous Fish Conservation; 15.605, Fish Restoration; 15.607, Environmental Contaminant Evaluation; 15.608, Sport Fish Technical Assistance; 15.609, Wildlife Technical Assistance; 15.610, Wildlife Ecology Research Information; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.605 FISH RESTORATION

### (Dingell—Johnson Program or D-J Program)

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Federal Aid in Sport Fish Restoration Act of 1950; 64 Stat. 430; as amended 16 U.S.C. 777-777k.

**OBJECTIVES:** To support projects designed to restore and manage sport fish populations for the preservation and improvement of sport fishing and related uses of these fisheries resources.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Approvable activities include land acquisition, development, research and coordination. Activities prohibited are law enforcement and public relations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Participation limited to State fish and wildlife agencies. States must have passed laws for the conservation of fish which include a prohibition against diversion of license fees paid by fishermen for purposes other than the administration of the State fish and wildlife agency. Also eligible are Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Notification of desire to participate must be made annually to the Secretary. The State fish and wildlife director must furnish a certification of the number of paid fishing license holders. Costs are determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental assessment is required where actions will significantly affect the human environment. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular A-95 (revised).

**Application Procedure:** Grantee may document initial program by submission of satisfactory comprehensive long range plan. When plan is accepted, project documentation is not required and annual agreement based on the plan is executed. Grantee has the option of submitting a project application. The form used is furnished by the Service. Documentation is covered in detail in the "Federal Aid Manual."

**Award Procedure:** The Regional Director approves or disapproves comprehensive long range plans and individual proposed projects. Regional offices are responsible for notification of grant approval to the grantee by return of a completed agreement. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Average 8 days.

**Appeals:** Differences of opinion about the substantiality of proposed projects are considered by qualified representatives of the Service and the State. In the event of continued disagreement, final determination rests with the Secretary of the Interior.

**Renewals:** Projects are renewed on an annual basis through approval of a project agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 40 percent on the basis of land and water area of the State and 60 percent on the basis of paid fishing license holders. No State may receive more than five percent or less than one percent of the total apportioned. Puerto Rico is apportioned one percent; Guam, the Virgin Islands and American Samoa are apportioned one-third of one percent. States are reimbursed up to 75 percent of the total project cost. Statistical factors used for fund allocation are (1) States percentage share of land and water area and statute miles of coastline including coastal and Great Lakes Waters from the source GE20 Number 1, May 1970, Area Measurement Report, Census; Coastline of the U.S., NOAA; (2) States percentage share of number of paid fishing license holders from the source annually certified by each State's fish and wildlife agency. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Apportioned funds are available for obligation for a period of two years. Balances remaining unobligated after the period of availability are returned to the Service.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Performance Report is required for each annual segment within 90 days after the end of the segment.

**Audits:** Audits of internal controls, propriety of costs, and compliance with regulations and legislation are performed at regular intervals.

**Records:** Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of final request for reimbursement.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-9923-0-2-303.

**Obligations:** (Grants) FY 81 $34,019,434; FY 82 est $34,141,000; and FY 83 est $37,830,000.

**Range and Average of Financial Assistance:** FY 81 $103,167 to $1,547,000; $573,148; FY 82 $99,900 to $1,498,500; $555,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 224 acres of water were created or restored in participating States and a total of 5,737 acres were acquired or developed to provide public access to fishing grounds. Fiscal year 1981 statistics are not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR 80; Federal Aid Manual; Federal Aid in Fish and Wildlife Restoration Annual Report (limited number available at no cost).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (703) 235-1526. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 11.405, Anadromous and Great Lakes Fisheries Conservation; 11.407, Commercial Fisheries Research and Development; 15.600, Anadromous Fish Conservation; 15.603, Farm Fish Pond Management; 15.604, Fishery Research—Information; 15.608, Sport Fish Technical Assistance; 15.609, Wildlife Technical Assistance; 15.610, Wildlife Ecology Research Information; 15.611, Wildlife Restoration; 15.612, Endangered Species Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Fish habitat improvement, research on fishery problems, surveys and inventories of fish populations and habitats, provision for public use of fishery resources.

**CRITERIA FOR SELECTING PROPOSALS:** Projects must be submitted by the State agency having responsibility for management of the State's fishery resources. The State agency selects those projects which are submitted for funding under the program. Projects are approved if they meet basic criteria contained in the regulations and the Manual.

## 15.606 MIGRATORY BIRD BANDING AND DATA ANALYSIS

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Migratory Bird Treaty Act; 40 Stat. 755; as amended 16 U.S.C. 703-711.

**OBJECTIVES:** To provide central repository for all migratory bird banding records in North America, provide analysis of banding records and production and harvest surveys for use in research and management, and publish findings from these analyses for State and private agency reference.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information provided may be used for setting seasons and bag limits for migratory game birds, determining migrational and seasonal movements, and for supplementing data from other sources on research dealing with migratory birds. No restrictions other than those imposed by limits on funds and manpower to meet requests for data except that the proprietary rights of banders to publications arising from their data are protected for five years. Canadians obtain information from Canadian Wildlife Service, Ottawa, Canada.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any agency or private individual engaged in or having an interest in research or management activities related to migratory birds has access to data published annually.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requested in form of letter to the Office of Migratory Bird Management.

**Award Procedure:** Acknowledgement of inquiry will be made and/or information will be sent by the appropriate official.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately 10 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $1,428,300; FY 82 est $1,484,300; and FY 83 est $1,534,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The recording and analysis of about 67,000 band recoveries in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Bird Banding Manual."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Chief, Branch of Surveys, Office of Migratory Bird Management, Laurel, MD 20707. Telephone: (301) 776-4880, Ext. 221.

**Headquarters Office:** Associate Director, Wildlife Resources, Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-5333.

**RELATED PROGRAMS:** 15.610, Wildlife Ecology Research Information.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.607 ENVIRONMENTAL CONTAMINANT EVALUATION

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fish and Wildlife Act of 1956; 70 Stat. 1119; 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958; 72 Stat. 563; 16 U.S.C. 661-667(e); Federal Environmental Pesticide Control Act of 1972, 7 U.S.C. 136-136(y); Federal Water Pollution Control Act; 33 U.S.C. 125 et seq.

**OBJECTIVES:** To promulgate information and provide technical assistance on environmental contaminants including pesticides regarding fish wildlife ecology to State and local governments, the pesticide industry, and to individuals.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** The Service conducts a monitoring field operations and research program to assess the levels and effects of persistent chemical contamination on fish and wildlife resources and their habitats and conducts field appraisals of operational use of chemicals applied on sensitive habitat. Through these efforts technical information can be provided on the effect and potential ramifications of chemical pollutants, including pesticides, on fish and wildlife resources and selected ecosystems.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, as well as industry and private individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Direct contact to Washington, DC; Attention: Deputy Associate Director - Research.

**Award Procedure:** Requests are acknowledged, and decisions on training or technical assistance are made according to the availability of personnel.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Approximately 10 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

***Account Identification:** 14-1611-0-1-303.*

**Obligations:** (Salaries and expenses) FY 81 $10,453,000; FY 82 est $9,604,000; and FY 83 est $8,951,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Combined field and laboratory research provides an evaluation of the effects of environmental contaminants on fish, wildlife, and their habitat. During fiscal year 1981, approximately 185 research studies were conducted, and 63 technical papers and 7 review papers were published and distributed. Levels of contaminants were monitored in fish from 55 locations. Technical assistance and information was provided related to effects, analytical techniques and preventive methods associated with environmental contaminants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Information is available upon request. Reprints of research reports and information on Fish and Wildlife policy on pesticide use is available. Fish and wildlife contaminant residue data from the National Pesticides Monitoring Program are available.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Branch Chief, Contaminant Operations, Division of Ecological Services, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-5452. Contact: David Walsh.

**RELATED PROGRAMS:** 10.063, Agricultural Conservation Program; 11.413, Fishery Products Inspection and Certification; 13.103, Food and Drug Administration—Research; 15.604, Fishery Research—Information; 15.610, Wildlife Ecology Research Information; 66.502, Pesticides Control Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.608 SPORT FISH TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fish and Wildlife Coordination Act of 1934; 48 Stat. 401 as amended; 16 U.S.C. 661-666c; Fish and Wildlife Act of 1956; 70 Stat. 1119 as amended; 16 U.S.C. 742a-742j. Sikes Act as amended; 16 U.S.C. 670a et Seq.

**OBJECTIVES:** To provide planned technical assistance and information to native Americans, military reservations, other State and Federal agencies in management of waters for sport fishing.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Assistance in the form of biological examinations of waters involved and specific recommendations based on the conditions found to exist. Stocking of fishes from National Fish Hatcheries may be one of the management tools considered. The program does not provide financial assistance for construction of ponds, lakes, or for other purposes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies, Indian tribes and Federal agencies are eligible to request direct aid.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** There must be factual evidence of the need for technical assistance.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Generally in the form of a letter to the Regional Directors of the U.S. Fish and Wildlife Service (see address appendix) stating the need for technical assistance and requesting the services available.

**Award Procedure:** After considering prior commitments and obligations, State or Federal agency or tribe will generally be informed by letter.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None, but as expeditiously as possible.

**Appeals:** No procedure for appeals as such.

**Renewals:** A formal agreement is entered into with the cooperating agency or tribe, usually no time limit.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports are submitted annually to the agencies or tribes involved. Occasionally, progress reports are considered to be advisable. Fishery Management Plans are developed as required.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $6,181,000; FY 82 est $3,389,000; and FY 83 est $2,975,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Technical assistance to 106 Indian tribes resulted in 2,001,100 days of fishing in fiscal year 1979. Recreational fishing generally open to non-Indians as well as Indians. Cooperative programs with the State conservation agencies have included joint studies of fishery problems of major watersheds, large reservoirs, or streams. Emphasis on assistance will be shifted towards refuges and funding levels for Indians, military, and other assistance, including State cooperative projects, will depend on reimbursements.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Annual Project Reports, Special Reports, and Fishery Management Plans.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Division of Hatcheries and Fishery Resource Management, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 632-5166.

**RELATED PROGRAMS:** 15.604, Fishery Research—Information; 15.605, Fish Restoration; 15.609, Wildlife Technical Assistance; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.609 WILDLIFE TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fish and Wildlife Coordination Act of 1934, as amended; 16 U.S.C. 661-661c; 48 Stat. 401.

**OBJECTIVES:** To provide information and planned technical assistance to native Americans, military reservations, other State and Federal agencies, and private organizations to improve conditions for the management of wildlife resources.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Requests may be made for direct assistance or verbal or written information; personnel will also assist in teaching short courses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Indian tribes and Federal agencies are eligible to request direct aid. Public or private agencies and organizations are eligible for assistance as circumstances permit.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Demonstrated need for services must exist.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Apply through headquarters or any listed local office either by telephone or in writing.

**Award Procedure:** Acknowledgement is made of requests and information or assistance is provided if available. Requests for training and advisory services are answered as quickly as possible.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately 10 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $350,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Provided wildlife technical assistance and planning services to American Indians; Department of Defense lands involving 200 military installations and 26 million acres; and select private lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Specific questions should be referred to U.S. Fish and Wildlife Service.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Associate Director, Wildlife Resources, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-5333.

**RELATED PROGRAMS:** 15.604, Fishery Research—Information; 15.605, Fish Restoration; 15.608, Sport Fish Technical Assistance; 15.610, Wildlife Ecology Research Information; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.610 WILDLIFE ECOLOGY RESEARCH INFORMATION

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Fish and Wildlife Act of 1956; 70 Stat. 1119; as amended 16 U.S.C. 742a-742j; Fish and Wildlife Coordination Act, 72 Stat. 563; Endangered Species Act of 1973, 87 Stat. 884.

**OBJECTIVES:** To develop information needed for the protection and enhancement of wildlife resources.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Service conducts research in the following program areas: Migratory Birds; Mammals and Nonmigratory Birds; Animal Damage Control; Biological Services, Land and Water Resources Development, and Endangered and Threatened Species. Requests may be made for verbal or written information on any aspect of the research subjects noted above.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** No requirements.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Letter addressed to Headquarters or field offices of the U.S. Fish and Wildlife Serivce listed below.

**Award Procedure:** Acknowledgement is made of the inquiry, and information provided if available.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Approximately 15 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $11,987,000; FY 82 est $12,148,100; and FY 83 est $11,268,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Conduct of studies of endangered wildlife (California Condor, Puerto Rican Parrot, Whooping Crane, and others); development of technique for quickly diagnosing duck wildlife diseases; to allow accurate and rapid responses to outbreaks of the diseases; development of techniques for increasing waterfowl production in the northern prairie habitat; conduct of studies on wintering habitat requirements on waterfowl; publication of a status report to the Congress on marine mammals (polar bears, walruses, sea otters, manatee, dugongs) populations; maintain the national collections of birds and mammals; conduct of studies on populations and habitat requirements of migratory nongame wildlife; conduct of studies to determine the impact of management practices on Federal lands on fish and wildlife resources; conduct of studies to assess the effect of hunting regulation; conduct of studies to evaluate impact of development on wildlife resources; and conduct of studies to reduce damage caused by wildlife to human interest.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Various publications produced by the Division of Wildlife Ecology Research on Wildlife Species, Annual Report, Wildlife Review, Wildlife Research Report series, Special Scientific Report-Wildlife series.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Directors of following wildlife research centers: Denver Wildlife Research Center, Building 16, Federal Center, Denver, CO 80225. Telephone: (303) 234-2283; Northern Prairie Wildlife Research Center, Post Office Box 1672, Jamestown, ND 58401. Telephone: (701) 252-5363; Patuxent Wildlife Research Center, Laurel, MD 20810. Telephone: (301) 776-4880. National Wildlife Health Laboratory, 6006 Schroeder Road, Madison, Wisconsin 53711. Telephone: (608) 264-5411.

**Headquarters Office:** David L. Trauger, Chief of Division of Wildlife Ecology Research, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 653-8762.

**RELATED PROGRAMS:** 10.652, Forestry Research; 15.604, Fishery Research—Information; 15.605, Fish Restoration; 15.606, Migratory Bird Banding and Data Analysis; 15.607, Environmental Contaminant Evaluation; 15.609, Wildlife Technical Assistance; 15.611, Wildlife Restoration; 15.612, Endangered Species Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.611 WILDLIFE RESTORATION

### (Pittman—Robertson Program or P-R Program)

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Federal Aid in Wildlife Restoration Act of 1937; 50 Stat. 917 as amended; 16 U.S.C. 669-669b, 669-669i.

**OBJECTIVES:** To support projects to (1) restore or manage wildlife populations and the provision of public use of these resources, and (2) provide facilities and services for conducting a hunter safety program.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Approvable activities include land acquisition, development, research, and coordination. Activities prohibited are law enforcement and public relations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Participation limited to State fish and Wildlife agenices. States must have passed laws for the conservation of wildlife which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State fish and Wildlife Agency. Also eligible are Puerto Rico, Guam, the Virgin Islands, and the Northern Mariana Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Notification of desire to participate must be made annually to the Secretary. The State fish and wildlife director must furnish a certification of the number of paid hunting-license holders. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental assessment is required where actions will significantly affect the human environment. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Grantee may document initial program by submission of satisfactory comprehensive long range plan. When plan is accepted, project documentation is not required and annual agreement based on the plan is executed. Grantee has the option of submitting a project application. The form used is furnished by the Service. Documentation required is covered in detail in the "Federal Aid Manual."

**Award Procedure:** The Regional Director approves or disapproves comprehensive long range plans and individual proposed projects. Regional offices are responsible for notification of grant approval to the grantee by return of a completed agreement. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Average 8 days.

**Appeals:** Differences of opinion about the substantiality of proposed projects are considered by qualified representatives of the Service and the State. In the event of continued disagreement, final determination rests with the Secretary of the Interior.

**Renewals:** Projects are renewed on an annual basis through approval of a project agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent on the basis of land area of the States and 50 percent on the basis of paid hunting-license holders. No State may receive more than five percent or less than one-half of one percent of the total apportioned. Puerto Rico is apportioned one-half of one percent; Guam and the Virgin Islands are each apportioned one-sixth of one percent of the total apportioned. Hunter safety funds are apportioned on the basis of population of the States. No State may receive more than three percent or less than one percent of the total apportioned. States may be reimbursed up to 75 percent of the total project cost. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors used for fund allocation are (1) States percentage share of land area from the source GE20 Number 1, May 1970, Area Measurement Report, Census; (2) States percentage share of number of paid hunting license holders, from the source annually certified by each State's fish and Wildlife agency; (3) States percentage share of popluation (hunter education) from the source 1980 Census of Population. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Apportioned funds are available for obligation for a period of two years. Balances remaining unobligated after the period of availability are returned to the Service.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Performance Report is required for each annual segment within 90 days after the end of the segment.

**Audits:** Audits of internal controls, propriety of costs, and compliance with regulations and legislation are performed at regular intervals.

**Records:** Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of final request for reimbursement.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-9923-0-2-303.

**Obligations:** (Grants) FY 81 $97,079,851; FY 82 $102,209,000; and FY 83 est $112,460,000.

**Range and Average of Financial Assistance:** FY 1981 $115,323 to $3,885,700; $1,573,471. FY 1982 $166,633 to $5,508,400; $216,590,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 26,104 acres of wildlife habitat were acquired in fee title by States. Fiscal year 1981, statistics are not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 50 CFR 80; Federal Aid Manual Federal Aid in Fish and Wildlife Restoration Annual Report (limited number available at no cost).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (703) 235-1526. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 10.062, Water Bank Program; 15.604, Fishery Research—Information; 15.605, Fish Restoration; 15.608, Sport Fish Technical Assistance; 15.609, Wildlife Technical Assistance; 15.610, Wildlife Ecology Research Information; 15.612, Endangered Species Conservation; 15.900, Disposal of Surplus Wildlife.

**EXAMPLES OF FUNDED PROJECTS:** Wildlife habitat improvement, research on wildlife problems, surveys and inventories of wildlife populations and habitats, provision for public use of wildlife resources.

**CRITERIA FOR SELECTING PROPOSALS:** Projects must be submitted by the State agency having responsibility for management of the State's wildlife resources. The State agency selects those projects which are submitted for funding under the program. Projects are approved if they meet the basic criteria contained in the regulations and the Manual.

## 15.612 ENDANGERED SPECIES CONSERVATION

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Section 6(h) of the Endangered Species Act of 1973; Public Law 93-205; 87 Stat. 884; 16 U.S.C. 1531-43, as amended.

**OBJECTIVES:** To provide Federal financial assistance to any State, through its respective State agency, which has entered into a Cooperative Agreement to assist in the development of programs for the conservation of endangered and threatened species.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The assistance provided to the State fish and wildlife agency for endangered and threatened species, can include animal and habitat surveys, research, planning, management, land acquisition, protection and public education. Assistance is restricted to those State agencies with which the Fish and Wildlife Service has a current Cooperative Agreement.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Participation limited to State agencies that have entered into a Cooperative Agreement with the Secretary of the Interior. Puerto Rico, Guam, American Samoa, and the Virgin Islands are also eligible to enter into cooperative agreements.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A current Cooperative Agreement between the Secretary of the Interior and the State fish and wildlife agency concerning endangered and threatened species is necessary. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Environmental impact data and assessment must be made for this State program in connection with the Cooperative Agreement and/or the application for Federal assistance (see Section 102 of the National Environmental Policy Act of 1969). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** A standard application for Federal assistance is submitted which will cover the entire endangered species plans for one State. Funds for a six (6) month period are obligated by signature on a Project Agreement.

**Award Procedure:** Project approval or disapproval is generally made within 30 days and notification is by means of a signed Application and Project Agreement. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Thirty days.

**Appeals:** Decisions can be appealed to the Fish and Wildlife Service. Final determination rests with the Secretary of the Interior.

**Renewals:** Renewals can be made through submission and approval of a Project Agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** States may receive up to 66-2/3 percent of the program costs except when two or more States have a common interest in one or more endangered species and enter into a joint agreement whereupon the Federal share is 75 percent.

**Length and Time Phasing of Assistance:** Funds allocated to a State are available for obligation during the fiscal year for which they were allocated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A performance report is required for each project segment within 90 days following the close of the segment.

**Audits:** Audits of internal controls, propriety of costs, and compliance with regulations and legislation are performed at regular intervals.

**Records:** Records must be maintained for 3 years following the submission of request for final reimbursement.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Grants) FY 81 $4,112,812; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** FY 81 $10,000 to $1,091,000; $143,297.

**PROGRAM ACCOMPLISHMENTS:** In 1980 over 4.5 million was allocated to 35 States for status determinations, research, protection, and public education efforts to benefit 228 different species of animals including birds, mammals, reptiles, amphibians, fishes, invertebrates, and plants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Endangered Species Act, 50 CFR 81, and Program Information in the Federal Aid Manual.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix for addresses.

**Headquarters Office:** Fish and Wildlife Service, Department of the Interior, Washington DC 20240. Contact: William Massmann. Telephone: (703) 235-1526 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 15.600, Anadromous Fish Conservation; 15.605, Fish Restoration; 15.610, Wildlife Ecology Research Information; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Determine the distribution, abundance, limiting factors, and prepare a recovery plan for the Morro Bay kangaroo rat. Monitor and protect breeding peregrine falcons, augment natural reproduction by incubating and hatching young and placing them with wild foster parents. Determine optimum densities of alligators and determine most effective census techniques. Locate colonies of bog turtles, determine land ownership and protect habitats by agreement with landowners, lease or purchase. Transplant endangered mussels into former habitat from which they had been extirpated.

**CRITERIA FOR SELECTING PROPOSALS:** Projects must be submitted by the State fish and wildlife agency. The State must have an approved Cooperative Agreement with the Secretary of the Interior which provides for sharing responsibilities for endangered species. The project must involve reseach, protection or management of a State or federally listed endangered species that is in need of protection.

## 15.613 MARINE MAMMAL GRANT PROGRAM

### (Marine Mammal Protection Act, Section 109 Grants to States)

**FEDERAL AGENCY:** U.S. FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** 16 U.S.C. 1361; 1362, 1372-1384, 1401-1407, 86 Stat. 1027.

**OBJECTIVES:** To provide financial assistance to States in development and implementation of programs for protection and management of marine mammals that inhabit a State's waters.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** 50 percent Federal matching funds for planning and activities including, but not limited to, research, censusing, habitat acquisition and improvement, or law enforcement. These activities are limited to marine mammals under Department of the Interior jurisdiction: polar bears, sea otters, walruses, West Indian manatees, and dugongs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State must have established laws and regulations, approved by the Secretary of the Interior, for protection and management of marine mammals consistent with the purposes and policies of the Marine Mammals Protection Act.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Federally approved State management program and laws and regulations consistent with Federal rules. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental assessment is required where actions will significantly affect the human environment. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Apply through U.S. Fish and Wildlife Service Regional Offices or Alaska Area Office, whose Federal Aid staff will review applications to determine completeness and compliance with FWS Federal Aid manual procedures and policy.

**Award Procedure:** Approved application will be sent to the appropriate regional or area offices for return to States. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** No later than June 30 of award year.

**Range of Approval/Disapproval Time:** Approximately 45 days.

**Appeals:** Not applicable.

**Renewals:** May be renewed depending on the availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50-50 Federal-State matching funds.

**Length and Time Phasing of Assistance:** Funds allocated to a State are available for obligation during the fiscal year which they were allocated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Performance Report is required for each annual segment within 90 days after the end of the segment.

**Audits:** Audits of internal controls, propriety of costs, and compliance with regulations and legislation are performed at regular intervals.

**Records:** Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of final request for reimbursement.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1611-0-1-303.

**Obligations:** (Grants) FY 81 $400,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1979 was the first year program was funded; funds were provided to Alaska for Walrus Management. No suitable application was received for awarding in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Associate Director, Wildlife Resources, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-5333.

**RELATED PROGRAMS:** 15.612, Endangered Species Conservation.

**EXAMPLES OF FUNDED PROJECTS:** State of Alaska Walrus Management Program-$48,900.

**CRITERIA FOR SELECTING PROPOSALS:** Relevance to objectives stated in Uses and Use Restrictions.

## 15.800 GEOLOGIC AND MINERAL RESOURCE SURVEYS AND MAPPING

### (Federal—State Cooperative Program)

**FEDERAL AGENCY:** GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of March 3, 1879; 43 U.S.C. 31, 48, 49.

**OBJECTIVES:** To prepare geologic maps throughout the United States according to national standards; to appraise mineral and mineral fuel resources and to carry on research in the principles and instrumentation of geology, geophysics, and geochemistry.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Geological Survey performs the work in cooperative projects. The technical information produced in these cooperative survey and mapping projects provides the physical basis for the effective planning of programs for development of natural resources and the efficient operation of interrelated projects at Federal, State and local levels. There are no restrictions on the use of the information.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States, and other State instrumentalities. Private groups and individuals are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A letter to the Director, the Chief Geologist, or to the Regional Geologist for the Region describing the problem will lead to personal discussions and mutual planning of a study that will meet the local need and at the same time contribute to the overall national objectives of the Geological Survey.

**Award Procedure:** When a satisfactory program has been defined and funds are available, a simple memorandum of agreement (usually a one-page standard joint funding cooperative agreement) signed by the State official and by the Director completes the arrangement.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Yes. Discussions at field level throughout each project often lead to extension, redirection of emphasis, or reduction of effort as the work progresses.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No appropriation language requirement, but agreements usually follow the principle of matching funds. The Geological Survey commonly bills the cooperator quarterly for reimbursement of the local share of obligations incurred by the Geological Survey in carrying out terms of the cooperative agreement.

**Length and Time Phasing of Assistance:** Continuing assistance is provided on an annual renewal basis. There is no required time phasing to the assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0804-0-1-306.

**Obligations:** (Salaries and expenses) FY 81 $316,080; FY 82 est $344,700; and FY 83 est $345,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1978, this program produced 58 geologic quadrangle maps (GQ) six geophysical maps (GP), six miscellaneous geologic investigations maps (I), one bulletin, and five professional papers. In fiscal year 1979, 40 geologic quadrangle maps were issued, and in 1980, 45 geologic quadrangle maps were issued, and in 1981 a total of 32 geologic and geophysical reports and maps were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons in Alaska write: Chairman, Alaska Survey Committee, 218 E Street, Anchorage, AK 99501. Telephone: (907) 479-7245; persons in Pacific Coast area write: Assistant Director, Western Region, U.S. Geological Survey, 345 Middlefield Road, Menlo Park, CA 94025, Telephone: (415) 323-2711; persons in Rocky Mountain area write: Assistant Director, Central Region, U.S. Geological Survey, Federal Center, Denver, CO 80225. Telephone: (303) 234-4630. All other States write to Assistant Director, Eastern Region, U.S. Geological Survey, National Center, 12201 Sunrise Valley Drive, Mail Stop-109, Reston VA 22092. Telephone: (703) 860-7414.

**Headquarters Office:** Chief Geologist, Geological Survey, Department of the Interior, National Center, 12201 Sunrise Valley Drive, Mail Stop-911, Reston VA 22092. Telephone: (703) 860-6531.

**RELATED PROGRAMS:** 11.400, Geodetic Surveys and Services; 11.401, Nautical Charts and Related Data; 15.801, Cartographic Information; 15.803, National Mapping, Geography and Surveys; 15.804, Water Resources Investigations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.801 CARTOGRAPHIC INFORMATION

**FEDERAL AGENCY:** GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of March 3, 1879; 43 U.S.C. 31; Office of Management and Budget Circular No. A-16, revised, May 6, 1967.

**OBJECTIVES:** To collect, organize, and disseminate cartographic and geographic information to Federal, State, Regional and local agencies and the general public.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provide users with information about maps, charts, geodetic control, aerial and space imagery, and related cartographic data generated by Federal, and ultimately State, local, and private sources. Orders can be accepted and forwarded to participating data depositories.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** General public.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the National Cartographic Information Center at the address below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0804-0-1-306.

**Obligations:** (Salaries and expenses) FY 81 $3,000,000; FY 82 est $3,756,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 250,000 inquiries for cartographic information were processed. In fiscal year 1982, it is estimated that 270,000 inquiries will be processed and in fiscal year 1983, it is estimated that there will be about 290,000 inquiries processed. During fiscal year 1981, NCIC processed orders for $1,903,000 for preparation of aerial/space photographic reproductions, map manuscript copy, and geodetic control lists. Since the start of NCIC's State affilate program in 1976, 29 States have signed agreements establishing NCIC affiliate offices.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** National Cartographic Information Center, National Mapping Division, Geological Survey National Center, 12201 Sunrise Valley Drive, Mailstop 507, Reston, VA 22092. Telephone: (703) 860-6045.

**RELATED PROGRAMS:** 11.400, Geodetic Surveys and Services; 15.800, Geologic and Mineral Resource Surveys and Mapping; 15.803, National Mapping, Geography and Surveys; 15.804, Water Resources Investigations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.803 NATIONAL MAPPING, GEOGRAPHY AND SURVEYS

### (Federal—State Joint Funding)

**FEDERAL AGENCY:** GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of March 3, 1879; 43 U.S.C. 31, 48, 49, and 50.

**OBJECTIVES:** To map the Nation at appropriate scales in accordance with established standards and maintain the maps in up-to-date condition; provide scale-accurate, photoimage products; produce cartographic data in standard digital form; gather, review, index, catalog and disseminate information on the nation's cartographic data; production of land use and land cover map data; and to manage the systematic procurement of high altitude photography of the country to meet the need of numerous States and Federal agencies.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Geological Survey does not have a program of direct financial assistance for surveys and mapping but does perform work on cooperative projects which contribute to the National Mapping Program. The technical information and maps produced in joint funded survey and mapping project provide basic information for the effective planning of programs for development and management of natural resources and the efficient planning and operation of interrelated projects at Federal, State, and local levels. There are no restrictions on the use of the information.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States, and other State instrumentalities. Private groups and individuals are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A letter to the Director or to the nearest office listed describing the problem will lead to personal discussions and mutual planning of a program that will meet the local need and at the same time contribute to the overall national objectives of the Geological Survey.

**Award Procedure:** When a satisfactory program has been defined and funds are available, a simple memorandum of agreement (usually a one-page standard joint funding agreement) signed by the State, county, or municipal offical and by a responsible Geological Survey official completes the arrangement.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Discussions at field level throughout each project often lead to extension, redirection of emphasis, or reduction of effort as the work progresses.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Appropriations language requires cooperating State and local governments to contribute at least one-half the cost of any cooperative mapping. The Geological Survey commonly bills the cooperator quarterly for reimbursement of the local share of obligations incurred by the Geological Survey in carrying out terms of the cooperative agreement.

**Length and Time Phasing of Assistance:** Continuing assistance is provided on annual renewal basis. There is no required time phasing to the assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0804-0-1-306.

**Obligations:** (Salaries and expenses) FY 81 $3,000,000; FY 82 est $3,000,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, about 66,000 square miles of 1:24,000 and 1:25,000 scale, standard quadrangle mapping coverage were accomplished. In fiscal year 1982, it is estimated that the standard quadrangle mapping coverage of the country will total about 80 percent with the production of 72,000 square miles of mapping, the equivalent of 1,260 standard quadrangle maps. Additional production in 1981 included the revision of 1,338 maps, comprising 76,250 square miles, revision or completion of 27, 1:250,000-scale and special-format maps, such as maps of the individual States and maps of Antartica, preparation of 3,222 othophotoquads, and preparation of about 370, 1:100,000 and 1:50,000 intermediate scale maps. Estimated fiscal year 1982 outputs in the latter categories will near those of fiscal year 1981. In 1981 the National Mapping Division had joint funding agreements with thirty-eight States and commonwealth.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons in Alaska write: Chairman, Alaska Survey Committee, 218 E Street, Anchorage, AK 99501. Telephone: (907) 479-7245. Persons in the Pacific Coast area write: Assistant Director, Western Region, 345 Middlefield Road, Menlo Park, CA 94075. Telephone: (415) 323-2711. Persons in the Rocky Mountain area write: Assistant Director, Central Region, Denver Federal Center, Denver, CO 80225. Telephone: (303) 234-4630. Persons in States east of Mississippi River write: Assistant Director, Eastern Region, U.S. Geological Survey, National Center, 12201 Sunrise Valley Drive, Mailstop 171, Reston, VA 22092.

**Headquarters Office:** Chief, National Mapping Division, Geological Survey, Department of the Interior, Geological Survey, National Center, 12201 Sunrise Valley Drive, Mailstop 516, Reston, VA 22092. Telephone: (703) 860-6231.

**RELATED PROGRAMS:** 11.400, Geodetic Surveys and Services; 15.800, Geologic and Mineral Resource Surveys and Mapping; 15.801, Cartographic Information; 15.804, Water Resources Investigations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.804 WATER RESOURCES INVESTIGATIONS

### (Federal—State Cooperative Program)

**FEDERAL AGENCY:** GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Act of March 3, 1879; 43 U.S.C. 31, 48, 49, and 50.

**OBJECTIVES:** To provide water information for economic development and best use of water resources and to carry on research in hydrology.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Technical information produced in Geological Survey cooperative projects provides the physical basis for effective planning of programs for development and management of natural resources and efficient operation of interrelated projects at Federal, State, and local levels. No restrictions on the use of information.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, political subdivisions of States, and other State instrumentalities. Private groups and individuals are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A letter to the Director or to the nearest listed office describing the problem will lead to personal discussions and mutual planning of a study that will meet the local need and at the same time contribute to the overall national objectives of the Geological Survey.

**Award Procedure:** When a satisfactory program has been defined and funds are available, a simple memorandum of agreement (usually a one-page standard joint funding agreement) signed by the State Official and by the responsible Geological Survey official completes the arrangement.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Discussions at field level throughout each project often lead to extension, redirection of emphasis, or reduction of effort as the work progresses.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Appropriation language requires cooperating State and local governments to contribute at least one-half the cost of any cooperative water resources investigation. The Geological Survey commonly bills the cooperator quarterly for reimbursement of the local share of obligations incurred by the Geological Survey in carrying out terms of the joint funding agreement.

**Length and Time Phasing of Assistance:** Continuing assistance is provided on annual renewal basis. There is no required time phasing to the assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0804-0-1-306.

**Obligations:** (Salaries and expenses) FY 81 $42,756,000; FY 82 est $42,220,000; and FY 83 est $44,164,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Geological Survey operates 12,900 gaging stations for measurement of streamflow, 6,300 water quality sites, and 15,000 observation wells for recording changes in ground water storage, as part of the Cooperative Program. Data from these stations are released in the Water-Data Reports series and other publications. Information on water resources investigations is released through the Water-Supply Paper, Professional Paper, Water-Resources Investigations, Circular, and Hydrologic Atlas series of the Geological Survey, and through reports published by the State organizations giving results of some cooperative projects of the Geological Survey and State and local agencies. Typical projects are either hydrologic data collection (streamflow, stream and ground-water quality, etc.), or areal studies such as of the quantity and quality of water resources (surface and/or underground) of a county, irrigation district, city, State, aquifer (ground water), or river basin. The resulting information is then published, as noted above. In fiscal year 1980, there were 627 joint funding agreements representing the financial cooperation of 746 non-Federal agencies with the Geological Survey to carry out water resources investigations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons in Alaska may write District Chief, Water Resources Division, 733 W. 4th Aveue, Suite 400, Anchorage, AK 99501. Telephone: (907) 271-4138; in the Western Region write Regional Hydrologist, Water Resources Division, 345 Middlefield Road, Menlo Park, CA 94025. Telephone: (415) 323-8111; in the Central Region write Regional Hydrologist, Water Resources Division, Mail Stop 406, Box 25046, Denver Federal Center, Lakewood, CO 80225. Telephone: (303) 234-3661; in the Northeastern Region write Regional Hydrologist, Water Resources Division, U.S. Geological Survey, National Center, Mail Stop 433, 12201 Sunrise Valley Drive, Reston, VA 22092. Telephone: (703) 860-6985; in the Southeastern Region write Regional Hydrologist, Water Resources Division, Richard B. Russell Federal Bldg, 75 Spring St. SW, Suite 772, Atlanta GA 30303. Telephone: (404) 242-5174.

**Headquarters Office:** Chief Hydrologist, Geological Survey, National Center, Mail Stop 409, 12201 Sunrise Valley Drive, Reston, VA 22092. Telephone: (703) 860-6921.

**RELATED PROGRAMS:** 11.400, Geodetic Surveys and Services; 12.104, Flood Plain Management Services; 15.800, Geologic and Mineral Resource Surveys and Mapping; 15.801, Cartographic Information; 15.803, National Mapping, Geography and Surveys; 15.950, National Water Research and Development Program; 15.951, Water Resources Research and Technology—Assistance to State Institutes; 15.952, Water Research and Technology—Matching Funds to State Institutes; 15.953, Water Resources Scientific Information Center; 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences; 65.001, Water Resources Planning.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# INDIAN ARTS AND CRAFTS BOARD

## 15.850 INDIAN ARTS AND CRAFTS DEVELOPMENT

**FEDERAL AGENCY:** INDIAN ARTS AND CRAFTS BOARD, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** An Act to Promote the Development of Indian Arts and Crafts; Public Law 74-355; 25 U.S.C. 305, 18 U.S.C. 1158-9; 42 Stat. 891-2, 62 Stat. 759.

**OBJECTIVES:** To encourage and promote the development of American Indian arts and crafts.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Program planning assistance, such as the development of innovative educational, production, promotion, and economic concepts related to Native culture. Complaints about imitation American Indian arts and crafts that are misrepresented as genuine handcrafts are referred to appropriate Federal or local authorities for action. The three museums operated by the Board serve Indians and the general public: the Sioux Indian Museum, in Rapid City, South Dakota; the Museum of the Plains Indian, in Browning, Montana; and the Southern Plains Indian Museum, in Anadarko, Oklahoma.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Native Americans, Indian, Eskimo, and Aleut individuals and organizations, federally recognized Indian tribal governments, State and local governments, and nonprofit organizations.

**Beneficiary Eligibility:** Native Americans, Indian, Eskimo, and Aleut individuals and organizations.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit request to headquarters office.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Acknowledgement usually in 14 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Required only if appropriate to the type of assistance offered.

**Audits:** Not applicable.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-2100-0-1-999.

**Obligations:** (Salaries and expenses) FY 81 $804,686; FY 82 est $822,000; and FY 83 est $873,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, advisory and other services were extended to the general public and to an estimated 6,000 Native artists and craftsmen on a continuing basis. In addition, the operation of three Indian museums provided professional museum services to over 200,000 individuals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 25 CFR 301, 304, 307, 308, 310. "Fact Sheet: General Information about the Activities of the Indian Arts and Crafts Board," free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** General Manager, Indian Arts and Crafts Board, Department of the Interior, Washington, DC 20240. Contact: Robert G. Hart. Telephone: (202) 343-2773.

**RELATED PROGRAMS:** 11.800, Minority Business Development—Management and Technical Assistance; 15.108, Indian Employment Assistance; 45.003, Promotion of the Arts—Artists-in-Education; 45.007, Promotion of the Arts—State Programs/Partnership Coordination; 45.009, Promotion of the Arts—Visual Arts; 45.010, Promotion of the Arts—Expansion Arts; 45.012, Promotion of the Arts—Museums; 45.015, Promotion of the Arts—Folk Arts; 60.007, Museums—Assistance and Advice.

**EXAMPLES OF FUNDED PROJECTS:** (Note: Advisory assistance only; no grants or other direct financial assistance is offered.) Assistance to an Indian craftsmen's cooperative to plan a series of exhibitions to recognize and promote outstanding work by its members; assistance to an Indian tribe to plan fund-raising to operate a new museum facility; assistance to an Indian craftsman to locate a grant to set aside time for creative experimentation; assistance to an Indian artist to organize, publicize, and professionally install a one-person sales exhibition at an Indian Arts and Crafts Board museum; assistance to an Indian nonprofit organization to develop a comprehensive plan for a multi-facility cultural center.

**CRITERIA FOR SELECTING PROPOSALS:** All requests receive a response. The depth and extent of assistance offered depend on: relevance to agency objectives; extent to which Native Americans have had and will have control over any decision-making involved; artistic and/or professional quality and feasibility of the proposed project; anticipated benefits to Native American artists and craftsmen.

## 15.900 DISPOSAL OF SURPLUS WILDLIFE

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Federal Property and Administrative Services Act of 1949, as amended; 40 U.S.C. 471; Public Law 81-152.

**OBJECTIVES:** To obtain the maximum public benefit of animals surplus to agency needs.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Restocking of wildlife ranges, zoo display animals and research animals, scientific specimens, consumptive use and parts thereof for ceremonials.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** American Indians (through the Bureau of Indian Affairs) in accordance with 1965 MOU for surplus ungulates; American Indian for other surplus wildlife; State, local, or municipal government; education or other tax-supported institution; private citizen.

**Beneficiary Eligibility:** Same as Applicant Eligibility. However, Indian Tribe requirements normally receive first priority under provisions of 1965 MOU.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Service will consult with the appropriate State fish and game departments in carrying out programs pertaining to the disposal of surplus animals. The Service will refer any resultant disagreements should they occur to the Secretary of the Interior, who shall provide for a thorough discussion of the problems with representatives of the affected State fish and game Department and the Service, for the purpose of resolving the disagreement. Citizens who avail themselves of the removal of surplus exotic animals must be deputized by the particular National Park and have the appropriate State fish and game hunting license. Exception exists where transfer of animals is to Indian Reservations for which respective State has ceded its authority to manage wildlife.

**Application Procedure:** Applicants including American Indians, applying for surplus wildlife not under the 1965 MOU, are to contact the appropriate National Park Service regional office. Requests by American Indians for surplus ungulates under the 1965 MOU should contact the Washington office of the Bureau of Indians Affairs. All requests must contain the species, number, and proposed use to be made of animals.

**Award Procedure:** For surplus ungulates, as set forth under 1965 MOU. For other surplus animals there is none.

**Deadlines:** American Indian requests for surplus ungulates must meet deadlines established annually by the Bureau of Indian Affairs. Other requests for surplus ungulates must meet deadlines established annually by the National Park Service. All recipients must meet the particular Park's deadline for the pickup of animals.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Requests normally must be resubmitted annually but in some situations remain active until filled.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Recipient must bear all shipping and related expenses. In addition, recipients procuring animals through roundups and/or live-trapping operations must normally pay half the capture expenses.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Live animals- none; scientific specimens - copies of data and related reports are required.

**Audits:** Live animals- none; scientific specimens - none.

**Records:** Live animals- none; scientific specimens- specimen must be cataloged and receive museum number if it is to be preserved.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-1036-0-1-303.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The most recent statistics are for fiscal year 1979. According to available information reported, various applicants received 6 beaver, 197 bison, 99 exotic deer, 72 goats, 34 horses and 324 pigs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 36 CFR, Part 10; 41 CFR, Subparts 101-43.3, 43 CFR 24; U.S. Department of the Interior, 1978, Management Policies, National Park Service; Memorandum of Understanding (MOU) of November 4, 1965 between the Bureau of Indian Affairs and the National Park Service relating to disposal and utilization of surplus wildlife.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Applicants, including American Indians applying for surplus wildlife not under the 1965 MOU, are to contact the appropriate National Park Service regional office for information. American Indians requesting information on surplus ungulates under the 1965 MOU should contact regional offices or the Washington office of the Bureau of Indian Affairs.

**Headquarters Office:** Chief, Division of Natural Resources, National Park Service, Department of the Interior, 18th and C Streets, N.W., Washington, DC 20240. Telephone: (202) 523-5051. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 13.676, Surplus Property Utilization; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.904 HISTORIC PRESERVATION GRANTS-IN-AID

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** National Historic Preservation Act of 1966; Public Law 89-665; 16 U.S.C. 470, as amended; National Historic Preservation Act Amendments of 1980, Public Law 96-515.

**OBJECTIVES:** To expand and maintain the National Register of Historic Places, the Nation's listing of districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, and culture at the National, State and local levels; to provide matching survey and planning grants-in-aid to assist in the identification, evaluation, and protection of historic properties; through the States, to public and private parties including local governments for preservation for public benefit of National Register listed properties; to provide matching grants-in-aid to the National Trust for Historic Preservation to assist in the accomplishment of its Congressionally-chartered responsibilities (63 Stat.927) 16 U.S.C. 468 to preserve historic resources.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds can be used to help finance State surveys and plans for historic preservation, staff salaries, equipment, and materials, and travel necessary to accomplish the purposes of the program. Funds can be used to match costs such as research, preparation of plans and specifications, and certain in-kind donations. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for futher information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are the National Trust for Historic Preservation, and States and Territories as defined in the National Historic Preservation Act operating programs administered by a State Historic Preservation Officer appointed by the Governor.

**Beneficiary Eligibility:** Public and private owners of properties listed in the National Register of Historic Places; States operating preservation programs in accordance with Federal guidelines.

**Credentials/Documentation:** Each State must have an approved Review Board and Professional staff, and an accepted statewide historic preservation plan. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Eligible program costs are determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Annual Application for matching grants-in-aid is competetively evaluated by the National Park Service. Applications are also subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 (revised) must be used for this program.

**Application Procedure:** Application is made by the States and National Trust for Historic Preservation for an Annual Program Grant in the form of annual preservation activities and projects.

**Award Procedure:** Annual appropriation is allocated by the Secretary of the Interior among States, Territories, and the National Trust for Historic Preservation. The OMB Standard Federal Assistance Application Form for Nonconstruction Programs is submitted annually. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** By October 15 of the fiscal year for which assistance is requested, State must submit an Annual Application for grants-in-aid to the National Park Service.

**Range of Approval/Disapproval Time:** Up to 1 month.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent State (public and/or private funds and/or allowable in-kind donations) 50 percent Federal; except for State and local surveys in which case the National Park Service provides 70 percent of the funding.

**Length and Time Phasing of Assistance:** Fiscal year in which funds are appropriated and one succeeding fiscal year for ongoing survey and planning projects; fiscal year plus two succeeding fiscal years for acquisition or development projects.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An Annual progress report is required for survey and planning.

**Audits:** Frequency and types as determined by Federal agency and as prescribed in FMC 73-2.

**Records:** Full fiscal and project records to be maintained by grantees in accordance with guidance in OMB Circular No. A-87, and OMB Circular No. A-102 (revised).

**FINANCIAL INFORMATION:**

**Account Identification:** 14-5140-0-2-303.

**Obligations:** (Grants) FY 81 $24,600,000; FY 82 $25,440,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $500 to $500,000; $25,000.

**PROGRAM ACCOMPLISHMENTS:** As of December, 1981, over 24,600 historic districts and individual properties were listed in the National Register, with approximately 250 new entries monthly, resulting predominantly from State nominations through grant-assisted surveys and from Federal agency nominations. Since 1969, over $305 million has been awarded to 58 States and Territories and the National Trust for grants. Assistance has benefited approximately 6,100 survey and planning, acquisition, and development projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Leaflet describing the grant-in-aid and related programs (available upon request from the Department of the Interior, National Park Service, Washington, DC 20240). "The National Register of Historic Places", 1978 issue, a hardbound volume listing and describing National Register properties (U.S. Government Printing Office, Division of Public Documents, Washington, DC 20402, $13.95).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for list of State Historic Preservation Offices, which are the responsible grantee/applicants.

**Headquarters Office:** Chief, Division of State Plans and Grants, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 272-3709. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 15.909, Historic American Buildings Survey/Historic American Engineering Record; 15.910, National Natural Landmarks Program; 15.912, National Historic Landmark; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services; 39.006, National Historical Publications and Records Grants.

**EXAMPLES OF FUNDED PROJECTS:** 1) Missouri Tax Program: Technical assistance provided and rehabilitation work reviewed resulting in $34,784,000 in private sector preservation tax benefit related rehabilitation. (2) New Mexico Historic Building Inventory Manual and Prehistoric New Mexico: Background for Survey: Documents provide an updated report on the current knowledge of archeological and architectural/historical resources in New Mexico. Documents disseminated to Federal, State, and local agencies; corporations, organizations and individuals. (3) North Carolina Survey Data Computerization Program: Allows for more efficient review of geographic areas for environmental review, comparative analysis of properties of significance in architecture, history and archeology. (4) Maryland Coal Basin Survey: Intensive survey of 778 square miles of surface mining areas to identify all standing structures of historic merit in order to expedite process of issuing permits for coal mining activities.

**CRITERIA FOR SELECTING PROPOSALS:** Each State selects proposals for funding in accordance with its own priorities.

## 15.909 HISTORIC AMERICAN BUILDINGS SURVEY/HISTORIC AMERICAN ENGINEERING RECORD

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Historic Sites Act of August 21, 1935 (Public Law 74-292); Executive Order 11593 and Historic Preservation Amendments of 1980 Public Law 96-515.

**OBJECTIVES:** To assemble a national archive of historic architecture, engineering and industrial sites, and assist cooperating public and private organizations in documenting structures of historical and architectural merit and producing inventories and documentation of historically significant engineering structures, and industrial archeological sites. Documentation consists of the preparation of measured drawings, photographs, and written reports which are deposited in the Library of Congress where they are available for public use and reproduction.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Cooperative agreements with local sponsors and Federal agencies provide funding for the preparation of measured drawings, photographs, and historical data on buildings, structures, and districts in the United States and Territories according to the standards established by the Historic American Buildings Survey and the Historic American Engineering Record. Most recording work involves the employment, by the National Park Service, of university students of history, engineering, and architecture and professors on specific summer projects.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, private institutions and organizations, educational institutions, historical and related organizations are eligible cooperators.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By letter to regional or headquarters office.

**Award Procedure:** Staff investigation is made and final determination by headquarters results in notice to applicant that cooperative inventory or documentation project has been approved. Funding from cooperating source is obligated and Memorandum of Agreement prepared and signed.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** If on-site inspection is required, scheduling of visits will delay approval. Once necessary information is collected, evaluation takes one month.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Normally 100 percent of the cost of the project is paid by the cooperator.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $719,800; FY 82 est $649,997; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Historic American Buildings Survey (HABS) and Historic American Engineering Record (HAER) archives are the largest collections of their kind in the world. They contain 49,000 measured drawings, 70,000 photographs, and 30,000 pages of written data for over 20,000 buildings. In fiscal year 1980, 322 buildings were recorded. It is estimated that a similar number of structures will be recorded in succeeding years.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Recording Historic Buildings" (procedural guide) available from the Government Printing Office for $6.40; list of available National and State catalogs HABS, Selection Series, HAER Inventories and Rehab-Action publications, free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** National Park Service Regional Office.

**Headquarters Office:** Robert J. Kapsch, Chief, Historic American Buildings Survey/Historic American Engineering Record, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 272-3527. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 15.904, Historic Preservation Grants-In-Aid; 15.910, National Natural Landmarks Program; 15.912, National Historic Landmark; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services; 39.006, National Historical Publications and Records Grants.

**EXAMPLES OF FUNDED PROJECTS:** The structural and mechanical systems of the Auditorium Building in Chicago were recorded by NAER in 1979-80 with the cooperation of Roosevelt University, the Illinois Department of Conservation, and the Graham Foundation of Chicago. Designed by Alder and Sullivan, the building is a National Historic Landmark recognized not only for its outstanding design but also for its lesser known but significant construction technology. Gunston Hall in Virginia was the subject of a 1981 HABS Study. The mansion is a superb example of 18th century Georgian architecture and is notable for the interior carved detail and woodwork executed by William Buckland. It is also a National Historic Landmark. Cosponsors for the project were the Board of Regents of Gunston Hall and the National Society of the Colonial Dames of America. The San Francisco Cable Car System was documented for HAER by the National Park Service, Western Regional Office in 1981. Cosponsors for the project were the City of San Francisco and the Urban Mass Transit Authority. A major Rehabilitation of this National Historic Landmark is scheduled for 1982. Prior to that date, documentation will be assembled on the car barn and the track system and driving mechanism. The Department of the Army is sponsoring an historic structures inventory of the United States Military Academy at West Point. Over 1300 buildings and monuments located within the 1500 acres which have been designated a National Historic Landmark will be inventored, and all nationally significant structures will be recorded to HABS standards.

**CRITERIA FOR SELECTING PROPOSALS:** Architectural and engineering merit and historical association constitute the basic criteria. Structures are selected which are significant in the development of architecture or engineering regionally or nationally, or which illustrate distinctive historical and technical contributions of cultural or ethnic groups, or which demonstrate new directions of concern such as minority neighborhoods, landscape design and architectural periods which have previously attracted little attention. The amount of non-Federal money available is also an important consideration.

## 15.910 NATIONAL NATURAL LANDMARKS PROGRAM

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Historic Sites Act of August 21, 1935 Public Law 74-292, 16 U.S.C. 461, 36 CFR 1212; General Authorities Act of 1970, Public Law 94-458, 16 U.S.C. la-5, 36 CFR 1212; Mining in National Parks Act of 1976, Public Law 94-429, 16 U.S.C. 1908, 36 CFR 1212.

**OBJECTIVES:** To identify and recognize nationally significant natural areas throughout the United States of America and to encourage their continued preservation.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information on potential and designated natural landmarks is compiled and made available to other Federal agencies, State and local governments, private firms, organizations, and individuals to assist in planning and decisionmaking. Provision of information on nationally significant resources early in planning can help avoid potential conflicts between development and preservation interests. Technical assistance is provided upon request to landmark owners and managers. No financial assistance accompanies designation of an area as a natural landmark. NPS may withhold specific information on a landmark's status on location upon request of an owner or manager, or because of the fragility of the resource.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may suggest a natural area for consideration for possible inclusion of the National Registry of Natural Landmarks by using a Suggested Natural Landmark Form. Owner of nationally significant natural area may be an individual, government or corporate body.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the regional or Washington office of National Park Service and request a Suggested Natural Landmark Form.

**Award Procedure:** The National Park Service conducts natural region studies and receives recommendations from other sources to identify potential natural landmarks. Site evaluation studies of potential landmarks are made by expert natural scientists. Sites that appear to qualify as landmarks are nominated to the Secretary of the Interior by the National Park Service Director for designation. Owners of designated sites are eligible to receive a certificate when they make a voluntary commitment to preserve the landmark's nationally significant values. A bronze plaque may also be presented for appropriate display on the site.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Depends on applicability to natural region studies, and availability of staff and funds.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The National Park Service makes periodic visits to natural landmarks to assess their condition. The Service prepares an annual report for the Secretary of the Interior to submit to the Congress which identifies those landmarks which exhibit known or anticipated damage or threats to the integrity of their resources.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $739,000; FY 82 est $268,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** As of September 1, the following studies were completed in 1981: Brooks Range (ecological); Cascade Range (ecological); Eastern Gulf Coastal Plain (ecological); Florida Peninsula (geological); Middle Rocky Mountains (geological); Southern Colorado Plateau (geological); Southern Rocky Mountain and Western Central Lowlands (geological). In addition, by the end of 1981 fiscal year 1982, 17 ongoing natural region studies are scheduled to be completed in the following regions: Appalachian Plateaus; Cascade Range; Eastern Central Lowlands; Western Central Lowlands (ecological); Chihuahuan Desert-Mexican Highland; Florida Peninsula (ecological); Hawaiian Islands; Interior and Western Alaska; Middle Rocky Mountains; New England-Adirondacks; Northern Rocky Mountains; Pacific Mountain System; Superior Upland; and Sierra Nevada. Studies in the Appalachian Ranges; Gulf Coastal Plain; and pacific Island Territories are scheduled for completion by 1983. Brooks Range-Alaska (geology), Middle Gulf Coastal Plain (ecology), Southern Blue Ridge (geology), and Western Gulf Coastal Plain (ecology) have yet to be started. As of September 1, 1981, the Secretary of the Interior has designated 537 natural landmarks.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Interim regulations which set forth the processes used to study, designate, register, and monitor national natural landmarks were published in the Federal Register on November 20, 1979 with a request for public comment. Based on comments received and program experience, final procedures for administering the landmarks program were published on December 9, 1980 (45 CFR 81183; 36 CFR 62). The procedures include the criteria for listing areas on the National Registry of Natural Landmarks and call for extensive public notice and review in the landmark evaluation process.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** National Natural Landmarks Program, National Park Service, Washington, DC 20240. Telephone: (202) 523-5152 (Use same 7-digit number for FTS). Contact: Arthur Stewart.

**RELATED PROGRAMS:** 15.909, Historic American Buildings Survey/Historic American Engineering Record.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.912 NATIONAL HISTORIC LANDMARK

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Historic Sites Act of August 21, 1935; Public Law 74-292; 16 U.S.C. 461 et seq.; National Historic Preservation Act of October 15, 1966; Public Law 89-665; 16 U.S.C. 470(t); National Historic Preservation Act Amendments of 1980; Public Law 96-515; 16 USC 470.

**OBJECTIVES:** To study, identify, and encourage preservation of nationally-significant historic properties; a bronze plaque and certificate are awarded in a presentation ceremony when requested. This provides permanent identification of nationally significant properties.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Properties recognized as National Historic Landmarks may, upon application by the owner or administrator, be awarded a certificate and bronze plaque attesting to national significance. At the same time, the applicant is requested to observe certain simple preservation precepts with regard to the property. Should subsequent occurrences alter the historic character of the site, landmark status may be revoked and the plaque and certificate removed. Automatic listing of National Historic Landmark properties on the National Register of Historic Places affords a degree of Federal protection under Section 106 of the Historic Preservation Act of 1966, and fulfills one of the prerequisites for Federal assistance under the National Register grants-in-aid program (see 15.904). Certain landmarks are also made eligible for Federal tax benefits and protections. National Historic Landmarks are generally selected from regularly-programmed theme studies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may suggest to the State Historic Preservation Officer in his State that a property be considered for inclusion in an appropriate National Historic Landmark theme study, provided the property has potential national significance with relation to some broad facet of American history. Owner of property may be individual, government, or corporate body. Properties of only State or local significance do not qualify.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Request should be supported by full exposition of national significance of property.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** If the site is not on the National Register of Historic Places, write the State Historic Preservation Officer of the State in which the site is located giving brief resume of history of the site and its present condition and advising what assistance can be provided in the nomination process. If the property is already on the National Register provide the State Historic Preservation Officer with brief resume of the historical facts that justify consideration of national significance.

**Award Procedure:** Sites nominated to the National Register of Historic Place with "National Significance" are automatically reviewed by the landmarks staff of the History Division. When the property has been investigated, findings are presented to the National Park Systems Advisory Board which evaluates its national significance and recommends a final action to the Secretary of the Interior. Owners of proposed landmarks are notified prior to a landmark study and after a landmark is designated.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Determined by scheduling of theme studies, availability of staff or funds, and proximity to spring and fall Advisory Board meetings.

**Appeals:** Owner comments are sought prior to meeting of the Advisory Board. Board meetings are open to the public.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** National Park Service personnel make periodic inspections to determine continuing eligibility of National Historic Landmark properties and to identify those which exhibit known or anticipated damage or threats to the integrity of their resources for inclusion in an annual Report to Congress.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) Incorporated into National History Division.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** As of March 1, 1982, a total of 1,572 properties were recognized as National Historic Landmarks.

**REGULATIONS, GUIDELINES, AND LITERATURE:** List of National Historic Landmarks published in booklet "National Historic Landmarks," also available upon request. The following casebound volumes, arranged according to specific theme or period in American history, with related National Historic Landmarks, may be ordered from Superintendent of Documents, Government Printing Office, Washington, DC 20420: "Soldier and Brave," "Explorers and Settlers," "Colonials and Patriots," "Founders and Frontiersmen," "Prospector, Cowhand, and Sodbuster," "Signers of the Declaration," "Lewis and Clark," "The Presidents." "Signers of the Constitution." The Landmark Book Series has been suspended since 1979. Revised regulations were published for comment in the "Federal Register" on December 18, 1979.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix for National Park Service.

**Headquarters Office:** History Division, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 523-0089. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 15.904, Historic Preservation Grants-In-Aid; 15.909, Historic American Buildings Survey/Historic American Engineering Record; 15.910, National Natural Landmarks Program; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:** National Historic Landmarks are automatically entered in the National Register of Historic Places. See Uses and Use Restrictions for funding project capability.

**CRITERIA FOR SELECTING PROPOSALS:** See program 15.914, National Register of Historic Places.

## 15.914 NATIONAL REGISTER OF HISTORIC PLACES

### (National Register)

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** National Historic Preservation Act of October 15, 1966, Public Law 89-665, 16 U.S.C. 470, 80 Stat. 915 et seq. (1970 edition); Executive Order 11593 of May 13, 1971; Tax Reform Act of 1976, Public Law 94-455; Public Law 94-442; 90 Stat. 1519; Revenue Act of 1978; Public Law 95-600; National Historic Preservation Act Amendements of 1980; Public Law 96-515; 16 USC 470; Tax Treatments Extension Act of 1980; Public Law 96-541, Economic Recovery Tax Act, Public Law 97-340.

**OBJECTIVES:** To expand and maintain the National Register as a planning tool and source of information on sites, buildings, districts, structures, and objects of historical, architectural, engineering, archeological and/or cultural significance by assessing the significance of properties and by making the contents of the National Register available to the public; to coordinate with Federal agencies and the Advisory Council on Historic Preservation in the implementation of laws and policies pertaining to historic preservation; to establish liaison with and give guidance to communities under Title I of the Housing and Community Development Act of 1974 (see 14.218); and to make certain certifications with respect to the historic character of buildings and structures, the rehabilitation of historic buildings and structures, and the preservation criteria of State and local statutes.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Professional advice is provided in determining whether a property qualifies for inclusion in the National Register according to the Criteria for Evaluation contained in 36 CFR Part 60. Listing does not affect the range of actions an owner may take, as long as Federal financing is not involved and no governmental unit receives any authority or control over the property, including its use and disposition. However, if a Federal project might have an effect on a property listed or eligible for listing, the agency involved must provide the Advisory Council on Historic Preservation a reasonable opportunity to comment pursuant to 36 CFR Part 800. Registered properties also become eligible to receive grants from the Historic Preservation grant-in-aid program of the Department of the Interior (see 15.904), to receive home improvement loans from the Department of Housing and Urban Development under Title I of the National Housing Act as amended on October 18, 1974, or to participate in the community grant program provided by the Housing and Community Development Act of 1974. Major Federal tax advantages can be received on certain rehabilitation expenditures for "certified historic structures" and for charitable contributions for conservation purposes of partial interests in historic properties.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are the States and territories as defined in the National Historic Preservation Act, operating under programs administered by State Historic Preservation Officers appointed by the Governors (listed in Appendix IV of the Catalog); Federal agencies required to list and consider historic properties within their jurisdiction as a result of the National Environmental Policy Act of 1969 and Executive Order 11593, operating under programs administered by representatives (listed in Appendix IV of the Catalog) appointed by the heads of the agencies, and in States without approved State Historic Preservation Programs, persons and local governments. Applicants eligible for Federal Tax benefits include owners of individually listed properties and properties certified by the Secretary of Interior as being historic and in a district certified as historic.

**Beneficiary Eligibility:** Public and private owners of historic properties listed in the National Register of Historic Places or of properties certified by the Secretary of Interior as being historic and in a district certified as historic.

**Credentials/Documentation:** Nominations are submitted on standard nomination forms provided upon request to the State Historic Preservation Officers and the Federal Representatives, who must certify that each property was properly nominated. Letters of request for determinations of eligibility must be adequately documented as described in Appendix A of 36 CFR Part 63. Requests for certification of historic properties must be documented as described in Section 67.4 of 36 CFR Part 67 and requests for certification of State and local statutes must be documented as described in Sec. 67.8 of 36 CFR Part 67. To participate in the program, each State must have an approved review committee, an approved State staff, and an accepted statewide plan. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For National Register nominations the signature of the State Historic Preservation Officer on the nomination form certifies that the State review committee has approved the nomination and that all applicable procedures, including notification to the property owner at least once during the nomination process, have been followed. The signature of the Federal Representative on the nomination form certifies that the property has been nominated in compliance with Executive Order 11593, and that the State Historic Preservation Officer has been allowed 90 days in which to present the nomination to the State Review Board and to evaluate its significance. Documentation for Tax Reform Act certification of statutes must be submitted to the appropriate State Historic Preservation Officer by the authorized representative of the government that enacted the statute.

**Application Procedure:** After the property is approved by the State Historic Preservation Officer or Federal Representative, the nomination form or letter of request for a determination of eligibility should be forwarded to the Keeper of the National Register, National Park Service, Department of the Interior, Washington, DC 20240. Nominations submitted for review are announced in the Federal Register to provide a period of comment. Documentation for certification of State and local statutes should be forwarded to the Keeper.

**Award Procedure:** The professional review staff of the National Register determines whether the properties meet the National Register criteria as contained in 36 CFR Part 60. Properties that meet the criteria are then officially listed in the National Register and become eligible for Federal tax benefits.

**Deadlines:** See program 15.904, Historic Preservation Grants-in-Aid.

**Range of Approval/Disapproval Time:** After nomination by State, generally 45 days at Federal level.

**Appeals:** A nomination returned to the States or Federal agencies may be resubmitted, depending upon the reason for its rejection.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $1,532,000; FY 82 $1,833,000; and FY 83 est $1,186,000.

**Range and Average of Financial Assistance:** See 15.904, Historic Preservation Grants-In-Aid.

**PROGRAM ACCOMPLISHMENTS:** As of January 1982, over 24,000 properties had been listed in the National Register, with approximately 200 entries added monthly; procedures for determinations of eligibility have been formulated and over 5,000 determinations of eligibility made; and out of 2,758 applications for Tax Reform Act certifications received, 2,662 have been approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 36 CFR Part 60; 36 CFR Part 63; 36 CFR Part 67 and amendment; "The Natioanal Register of Historic Places," free leaflet explaining the program; "How to Complete National Register Forms" ($1.35, Stock No. 024-005-00666-4), Guidelines for Local Surveys: A Basis for Preservation Planning," ($2.50, November 1977); "Historic Preservation Bibliography" ( Stock No. 024-016-00113-2 1979); "How to Get a Property Listed on the National Register" (poster-$1.70, April 1979); and "The National Register of Historic Places" (1976-Vol. I and Vol. II) hardbound volumes listing and describing National Register Properties, are all obtainable through the Government Printing Office, Superintendent of Documents, Washington, DC 20402. Lists of nominations submitted to the National Register for review are published in the "Federal Register" every Tuesday. A list of properties added to the National Register inventory for the immediate past year is published annually in the "Federal Register" in February; "11593", a bimonthly bulletin providing technical and other program-related information, as requested by Section 3 of Executive Order 11593; 36 CFR 1208, Historic Preservation Certification Pursuant to the Tax Reform Act of 1976.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix for list of State Historic Preservation Officers and National Park Service Regional Offices.

**Headquarters Office:** Chief, Division of the National Register of Historic Places, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 272-3504. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 15.904, Historic Preservation Grants-In-Aid; 15.909, Historic American Buildings Survey/Historic American Engineering Record; 15.910, National Natural Landmarks Program; 15.915, Technical Preservation Services; 15.912, National Historic Landmark.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** CRITERIA FOR EVALUATION: The following criteria are designed to guide the States and the Secretary of the Interior in evaluating potential entries (other than areas of the National Park System and National Historic Landmarks) to the National Register: The quality of significance in American history, architecture, archeology, and culture is present in districts, sites, building, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and: (A) that are associated with events that have made a significant contribution to the broad patterns of our history; or (B) that are associated with the lives of persons significant in our past; or (C) that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or (D) that have yielded, or may be likely to yield, information important in prehistory or history. Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories. (A) a religious property deriving primary significance from architectural or artistic distinction or historical importance; or (B) a building or structure removed from its original location but which is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or (C) a birthplace or grave of a historical figure of outstanding importance if there is no appropriate site or building directly associated with his productive life; or (D) a cemetery which derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or (E) a reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or (F) a property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own historical significance, or (G) a property achieving significance within the past 50 years if it is of exceptional importance.

## 15.915 TECHNICAL PRESERVATION SERVICES

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Executive Order 11593 of May 13, 1971; Federal Property and Administrative Services Act of 1949, as amended; Public Law 81-152; 40 U.S.C. 471; Tax Reform Act of 1976; Public Law 94-455; Public Law 94-442; 90 Stat. 1519; National Historic Preservation Act of 1966 as amended; Public Law 89-665; 80 Stat. 915; 16 U.S.C. 470 et seq. (1970 ed.); Revenue Act of 1978; Public Law 95-600, Economic Recovery Tax Act of 1981; Public Law 97-340; General Authorities Act of 1976; Mining in the National Parks Act of 1976.

**OBJECTIVES:** To establish technical preservation policies and standards and to develop technical information for the treatment of historic properties. This includes development and maintenance of the "Secretary of the Interior's Standards for Historic Preservation Projects," which provide guidance regarding all aspects of preservation work for the use of Federal, State and local officials, property owners, developers, and architects. To provide policy direction to the NPS regional offices for the certification of commercial rehabilitation work for tax benefits and to administer the legally mandated appeals process for denials of certification and make the final administrative determination on all legal appeals of denials for certification of Tax Act projects. To advise Congress and Federal agencies on the preservation of historic properties. This includes developing and disseminating policies and the regional inspection procedures for the monitoring of national historic landmarks, and preparing the annual report to Congress on endangered national historic landmarks. To provide policy direction and guidance on Federal surplus properties which are available for transfer for historic monument purposes. To develop policy for the approval of project work for conformance with the Secretary's standards for acquisition and development grant-in-aid projects under the Historic Preservation Fund if limited Federal assistance becomes available.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Technical information is provided to assist Federal agencies, State and local governments, and owners of certified historic structures to preserve and maintain historic properties under their jurisdiction or control. For matching grants, see 15.904, Historic Preservation Grants-in-Aid.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federal agencies, State and local governments, and individuals. For Grants-in-Aid program, see 15.904, Historic Preservation Grants-in-Aid.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** By letter or telephone communication to State Historic Preservation Officers or regional office for technical information or for information on the Tax Act program; through regional office for surplus property; for Grants-in-Aid see 15.904, Historic Preservation Grants-in-Aid.

**Application Procedure:** By Historic Preservation Certification Application (OMB No. 42 R176S) through State Historic Preservation Officer or regional office. For Grants-in-Aid, see 15.904, Historic Preservation Grants-in-Aid.

**Award Procedure:** See 15.904, Historic Preservation Grants-in-Aid.

**Deadlines:** See 15.904, Historic Preservation Grants-in-Aid.

**Range of Approval/Disapproval Time:** Varies according to nature of problem and range of alternatives. For Grants-in-Aid, see 15.904, Historic Preservation Grants-in-Aid. For certification or denial of rehabilitations for tax purposes, see 36 CFR 67.

**Appeals:** See 15.904, Historic Preservation Grants-in-Aid. For certified rehabilitations, appeals through Chief, Technical Preservation Services Division.

**Renewals:** See 15.904, Historic Preservation Grants-in-Aid.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** See 15.904, Historic Preservation Grants-in-Aid.

**Length and Time Phasing of Assistance:** See 15.904, Historic Preservation Grants-in-Aid.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** See 15.904, Historic Preservation Grants-in-Aid.

**Audits:** See 15.904, Historic Preservation Grants-in-Aid.

**Records:** See 15.904, Historic Preservation Grants-in-Aid.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $968,000; FY 82 est Not available; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Technical Preservation Services is currently preparing a series of publications on the technical aspects of preservation for distribution to Federal, State, and local agencies. In addition, a series of "Preservation Briefs" is being prepared for wide distribution. Each "Preservation Brief" will provide useful and easily understood information about a technical problem encountered frequently at all levels of preservation. Technical Preservation Services through the regional office is responsible for the review of all grant-assisted acquisition and development projects funded under the National Park Service grants-in-aid program (15.904). Grant project reports or case studies are also published and distributed to State Historic Preservation Offices so that both site-specific information and responsible general approaches may be shared throughout the program. Technical Preservation Services through the regional offices is responsible for the review and evaluation of rehabilitation proposals and certification of work for certified historic structures under the Tax Reform Act of 1976, the Revenue Act of 1978, and the Economic Recovery Tax Act of 1981. Technical Preservation Services through the regional offices is responsible for the review of rehabilitation and reuse proposals submitted with State and local government applications for the transfer of federally-owned surplus historic properties. Technical Preservation Services provides general technical assistance to private organizations, individuals, and local governments. Evaluate the inspection reports prepared by the regional offices and compile them for an annual report to Congress on the status of endangered and threatened national historic landmarks. Technical Preservation and the National Register Division developed a major outreach effort to explain the new tax benefits for commercial historic properties. For fiscal year 1982, the National Park Service and the National Trust for Historic Preservation will be cosponsors for 12 conferences in major cities across the country to explain the new tax program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402: "The Secretary of the Interior's Standards for Historic Preservation Projects with Guidelines for Applying the Standards" ($2.30; 024-016-00105-2); "Cyclical Maintenance for Historic Buildings" ($4.50; 024-005-00637-1; "Photogrammetric Recording of Cultural Resources" ($3.00; 024-005-00684-2); "Wallpapers in Historic Preservation" ($3.25; 024-005-00685-1); "Epoxies for Wood Repairs in Historic Buildings" ($4.25; 024-016-00095-1); "Gaslighting in America: A Guide for Historic Preservation" ($6.50; 024-016-00094-3); "Moving Historic Buildings" (2.50; 024-016-00109-5); "Exterior Cleaning of Historic Masonry Buildings" ($1.25; 024-016-00123-1); "Rectified Photography and Photo Drawings for Historic Preservation" ($1.75; 024-016-00124-9); "X-Ray Examination of Historic Structures" ($1.50; 024-016-00125-7); "The Morse-Libby Mansion, Portland, Maine: A Report on Restoration Work, 1973-1977" ($2.40; 024-005-00699-1); "Fort Johnson, Amsterdam, New York: A Historic Structure Report 1974-1975" ($2.40; 024-005-00706-7); "Carr Mill, Carrboro, North Carolina: A Rehabilitation Project Under the Tax Reform Act of 1976" ($1.50; 024-016-00117-6); "Chateau Clare, Woonsocket, Rhode Island; Rodman Candleworks, New Bedford, Massachusetts: Rehabilitation Through Federal Assistance" (1.50; 024-016-00119-2); "Olmsted Park System, Jamaica Pond Boathouse, Jamaica Plain, Massachusetts: Planning for Preservation of the Boathouse Roof" ($2.75; 024-016-00121-4); "Planning for Exterior Work on the First Parish Church, Portland, Maine, Using Photographs as Project Documentation" ($2.75; 024-016-00120-6); "Abbeville, South Carolina: Using Grant-in-Aid Funds for Rehabilitation Planning and Project Work in the Commercial Town Square" ($3.50; 024-016-00126-5); "Federal Tax Provisions to Encourage Rehabilitation of Historic Buildings: An Assessment of Their Effect" ($4.00; 024-016-00122-2); "Historic Preservation Grants-in-Aid Catalog" ($3.15; 024-005-00638-0); "Rehabilitation of Historic Buildings: An Annotated Bibliography" ($2.75; 024-016-00130-3); Maymont Park--The Italian Garden, Richmond, Virginia: Using Grant-in-Aid Funds for Landscape Restoration" ($2.50; 024-016-00137-1); "Rehabilitating Historic Hotels: The Peabody Hotel, Memphis, Tennessee" ($3.25; 024-016-00142-7); "Storefront Rehabilitation: The Harding Building, Jackson Mississippi" ($1.50; 024-016-00138-9); Main Street Historic District: Van Buren, Arkansas, Using Grant-in-Aid Funds for Storefront Rehabilitation/Restoration Within a Districtwide Plan" ($2.25; 024-016-00136-2); "Access to Historic Building for the Disabled: Suggestions for Planning and Implementation" ($4.25; 024-016-00149-4). "Metals in America's Historic Buildings: Uses and Preservation Methods" ($5.50; 024-016-00143-5). "The Cleaning and Waterproof Coating of Masonry Buildings" (Preservation Briefs: 1) ($1.00 each; multiples of 100, $20; 024-016-00650-8); "Reporting

Mortar Joints in Historic Brick Buildings" (Preservation Briefs: 2) ($1.50 each; multiples of 100, $20; 024-016-00148-6); "Conserving Energy in Historic Buildings" (Preservation Briefs: 3) ($.75 each; multiples of 100, $20; 024-016-0103-6); for Historic Buildings" (Preservation Briefs: 4) ($.75 each; multiples of 100, $20; 024-016-00102-5); "The Preservation of Historic Adobe Buildings" (Preservation Briefs: 5) ($1.50 each; multiples of 100, $20; 024-016-00134-6) "Dangers of Abrasive Cleaning to Historic Buildings (Preservation Briefs: 6) ($1.50 each; multiples of 100, $20; 024-016-00112-5); "The Preservation of Historic Glazed Architectural Terra-Cotta" (Preservation Briefs: 7) ($1.50 each; multiples of 100, $20; 024-016-00115-1); "Aluminum and Vinyl Sidings on Historic Buildings" (Preservation Briefs: 8) ($.75 each; multiples of 100, $30; 024-016-00116-8); "The Repair of Historic Wooden Windows" (Preservation Briefs: 9) ($1.50 each; multiples of 100, $20; 024-016-00147-8); "Historic Preservation Grants-in-Aid for Acquisition and Development Projects" ($1.50 each; multiples of 100, $14; 024-016-00110-9); "Tax Incentives for Rehabilitating Historic Buildings" ($1.50 each; multiples of 100, $14; 024-016-00128-1).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, Technical Preservation Services Division, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 272-3761. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 15.904, Historic Preservation Grants-In-Aid; 15.909, Historic American Buildings Survey/Historic American Engineering Record; 15.910, National Natural Landmarks Program; 15.914, National Register of Historic Places.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 15.916 OUTDOOR RECREATION—ACQUISITION, DEVELOPMENT AND PLANNING

### (Land and Water Conservation Fund Grants)

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** 16 U.S.C. 1-4 et seq. Land and Water Conservation Fund Act of 1965; Public Law 88-578; 78 Stat. 897; as amended by Public Law 90-401 (82 Stat. 354); Public Law 91-485 (84 Stat. 1084); Public Law 91-308 (84 Stat. 410); Public Law 92-347 (86 Stat. 460); Public Law 93-81 (87 Stat. 178); Public Law 94-422 (90 Stat.1313); and Public Law 95-42 (91 Stat. 210).

**OBJECTIVES:** To provide financial assistance to the States and their political subdivisions for the preparation of comprehensive statewide outdoor recreation plans and acquisition and development of outdoor recreation areas and facilities for the general public, to meet current and future needs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Acquisition and development grants may be used for a wide range of outdoor recreation projects, such as picnic areas, inner city parks, campgrounds, tennis courts, boat launching ramps, bike trails, outdoor swimming pools, and support facilities such as roads, water supply, etc. Facilities must be open to the general public and not limited to special groups. Development of basic rather than elaborate facilities is favored. Fund monies are not available for the operation and maintenance of facilities. Grants are also available to States only for revising and updating existing State outdoor recreation plans, preparation of new plans and for statewide surveys, technical studies, data collection and analysis and other planning purposes which are clearly related to the refinement and improvement of the State outdoor recreation plan. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For planning grants, only the State agency formally designated by the Governor or State law as responsible for the preparation and maintenance of the Statewide Comprehensive Outdoor Recreation Plan is eligible to apply. (Treated as States in this regard are the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, and Guam.) For acquisition and development grants, the above designated agency may apply for assistance for itself, or on behalf of other State agencies or political subdivisions, such as cities, counties, and park districts. Additionally, Indian tribes which are organized to govern themselves and perform the function of a general purpose unit of government qualify for assistance under the program. Individuals and private organizations are not eligible.

**Beneficiary Eligibility:** The general public. For planning grants, same as Applicant Eligibility.

**Credentials/Documentation:** The State liaison officer, appointed by the Governor to administer the program in the State, must furnish assurance that the project is in accord with the State Comprehensive Outdoor Recreation Plan; i.e., that it meets high priority recreation needs shown in the action program portion of the plan. The State's apportionment balance of fund monies must be adequate for the project, and the sponsoring agency must permanently dedicate the project to public outdoor recreation and assume responsibility for operation and maintenance. State Plans must cite the State's legal authority to participate in the Land and Water Conservation Fund program. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applicant is required to furnish basic environmental information or evaluation. Assessment by the National Park Service will determine whether an environmental impact statement will be prepared.

**Application Procedure:** Project proposals are submitted to the Service through the State liaison officer designated by the Governor. The State liaison officer has the initial prerogative of determining acquisition and development project eligibility, priority need, and order of fund assistance within the State.

**Award Procedure:** Proposals are reviewed by regional office, where final action may be taken. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately 20 days for acquisition and development projects; 60 days for planning projects.

**Appeals:** State may appeal to the Secretary of the Interior.

**Renewals:** Project agreements may be amended to change the scope, amount, or duration. Must be approved by the Service.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Land and Water Conservation Fund Act specifies that not more than 50 percent of the project cost may be federally financed. Under certain conditions, all or part of the project Sponsor's matching share may be from certain other Federal assistance programs, such as Title I Community Development, Appalachia and all other Regional Commissions. Forty percent of the first $225 million; thirty percent of the next $275 million; and twenty percent of all additional appropriations is apportioned equally among the States. The remaining appropriation is apportioned on the basis of need. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Funds are available for obligation during the fiscal year in which appropriated and for the two following fiscal years. The assistance period for individual projects varies and may be extended. Complex projects may be broken down into stages, with one being initially approved and the remainder qualified for activation at a later date. Except for project preparation costs, all costs must be incurred within the project period. Planning projects may not be phased.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** State inspection reports are submitted triennially on completed projects stating whether the properties acquired and/or developed with fund assistance are used in accordance with the agreement. For planning projects, end products are specified in the application for assistance. Reports are required with billings.

**Audits:** Regular internal reviews by the Department's Office of Inspector General. Each State is audited at least once every two years. States are to provide for a system of periodic internal review.

**Records:** Maintain records to facilitate audit, including records that fully disclose the amount and disposition of assistance; the total cost of the project; and the amount and nature of that portion of the cost supplied by other sources.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-5005-0-2-303.

**Obligations:** (Grants) FY 81 $174,711,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $150 to $5,450,000; $68,178.

**PROGRAM ACCOMPLISHMENTS:** By January 29, 1982, 29,148 State and local projects were approved for funding. Approximately 40 percent of the money obligated was for the use of State agencies, 12 percent for counties, and 48 percent for cities. Approximately 60 percent of the annual appropriation from the Land and Water Conservation Fund is for assistance to States. The remaining 40 percent is for Federal land acquisition.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Outdoor Recreation Grants-in-Aid Manual (available on a subscription basis from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, at a cost of $9.75). "The Land and Water Conservation Fund Act of 1965, as Amended," no charge; and "Private Assistance in Outdoor Recreation," $0.90 from Government Printing Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for addresses.

**Headquarters Office:** Chief, State, Local and Urban Programs Division, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 272-3660. Contact: Sam L. Hall

**RELATED PROGRAMS:** 10.062, Water Bank Program; 15.917, Recreation—Technical Assistance; 39.002, Disposal of Federal Surplus Real Property.

**EXAMPLES OF FUNDED PROJECTS:** Acquisition and development grants may be used for a wide range of outdoor recreation projects, such as picnic areas, inner city parks, campgrounds, tennis courts, boat launching ramps, bike trails, outdoor swimming pools, and support facilities such as roads, water supply, etc. Facilities must be open to the general public and not limited to special groups. Development of basic rather that elaborate facilities is favored. Fund monies are not available for the operation and maintenance of facilities.

**CRITERIA FOR SELECTING PROPOSALS:** At the Federal level each project must be in accord with a State comprehensive outdoor recreation plan. Beyond this, the selection of projects is made by the State liaison officer of each State who is responsible for the administration of the 15.916 program in his State.

## 15.917 RECREATION—TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Park, Parkway, and Recreation Area Act of June 23, 1936 (49 Stat. 1894); Public Law 88-29; 77 Stat. 49; 16 U.S.C. 1-3.

**OBJECTIVES:** To provide technical assistance and advice to and cooperate with States, political subdivisions, and private interests, including nonprofit organizations, with respect to recreation.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** The Service works with States, political subdivisions and private interests in demonstrating approaches, concepts, and techniques for the solution of recreation problems. The Service may also provide advisory services on recreation-related matters when qualified staff are available. In other cases, the Service attempts to link experts with those raising the question. Workshops and handbooks on approaches for dealing with recreation problems are prepared and offered across the Nation. Technical information is selectively disseminated to members of the Parks and Recreation Technical Services (PARTS) Information Exchange through the NOTIFICATIONS publication as well as in response to specific ad hoc requests. Park Practice, a cooperative publication effort with the National Recreation and Park Association (NRPA), consists of three publications, TRENDS -- GRIST -- DESIGN, used as guides by park and recreation professionals and practitioners. Each publication is available on a subscription basis from NRPA. Training is offered on an open-enrollment basis. Participants are charged an enrollment fee which may vary according to the course offering. Courses are anounced through notifications. Energy planning and management, management approaches, private sector involvement, environmental design and land control techniques are subject areas of particular concern in providing information, training and advisory services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may apply. Determination is made on the basis of relationship to National priorities and availability of staff.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Informal request addressed to U.S. Department of the Interior, National Park Service Washington, DC 20240. Publications and Informational Brochures are available through the same address. Park Practice Subscriptions are available from National Recreation and Park Association, 1601 North Kent St, Arlington, VA 22209.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Review of and/or participation in preparation of project report for demonstration projects.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 $3,304,000; FY 82 $1,551,000; and FY 83 est $692,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fiscal Year 1981: Technical information requests handled routinely by phone or by using existing information --124,985; requests requiring special written response--28,452. New training development including workbooks or class materials --8; workshop/training sessions --175; and attendees at workshops/training sessions --9,342.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A variety of publications is available to aid Park and Recreation practitioners.

Brochures describing services are available from the Division of Recreation Resource Development.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Most services are provided through Regional offices. See Catalog appendix for addresses.

**Headquarters Office:** Chief, Division of Recreation Resource Development, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 272-3730. Contact: William T. Spitzer.

**RELATED PROGRAMS:** 15.916, Outdoor Recreation—Acquisition, Development and Planning.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** See Applicant Eligibility. Determination is made on the basis of relationship to national priorities and availability of staff.

## 15.918 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY FOR PARKS, RECREATION, AND HISTORIC MONUMENTS

### (Surplus Property Program)

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Section 203 (K) of the Federal Property and Administrative Services Act of 1949; 63 Stat. 385 as amended; 40 U.S.C. 484.

**OBJECTIVES:** To dispose of surplus Federal real property for public park and recreation use and for historic monument use.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Surplus real property may be conveyed for public park and recreation use at discounts up to 100 percent; and for historic monument purposes without monetary consideration. Property conveyed for park and recreation use and for historic monument purposes must be used for these purposes in perpetuity or be reverted to Federal ownership.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only State or local units of government are eligible to apply for surplus real property for public park and recreation and historic monument purposes; and, must agree to manage the property in the public interests/and for public use.

**Beneficiary Eligibility:** The general public.

**Credentials/Documentation:** The applicant must submit a proposed program of use for the property and evidence of its ability to finance the program. Applications must be supported by city, county or State legislature resolution and may require A-95 clearance.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Park and recreation and historic monument applications are coordinated by the National Park Service, Department of the Interior, and the General Services Administration.

**Application Procedure:** Applications for park and recreation use and historic monuments are submitted to the National Park Service Regional Office. Application forms issued by the National Park Service.

**Award Procedure:** Upon approval of a park and recreation application the National Park Service will request GSA to assign property to the Secretary of the Interior for transfer. Upon approval of a historic monument application, the National Park Service recommends that GSA transfer the property.

**Deadlines:** Advice of interest in making application for properties must be given to the General Services Administration directly; or, indirectly to GSA through the National Park Service. Reasonable time thereafter is allowed for the filing of applications.

**Range of Approval/Disapproval Time:** From 3 to 6 months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Recipients of surplus properties are required to submit biennial compliance reports on the use of the property.

**Audits:** The National Park Service conducts periodic compliance inspections to assure that the properties are being utilized for the purposes for which they are conveyed.

**Records:** The National Park Service maintains official records concerning the property.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0700-0-1-303.

**Obligations:** (Salaries and expenses) FY 81 est $322,000; FY 82 est Not available; FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Since enactment of Public Law 91-485 in October 1970, to authorize the transfer of surplus property at up to 100 percent discount, over 850 properties comprising over 100,200 acres and valued at over $375 million have been transferred to State and local governments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Disposal of Surplus Real Property," booklet published by the General Service Administration (no charge). Section 203 (K) (2) and 203 (K) (3) of the Federal Property and Administrative Service Act of 1949, as amended (40 U.S.C. 484 (K) (2) and (K) (3).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Applicants are requested to communicate with National Park Service Regional Directors. (See Catalog appendix for addresses.)

**Headquarters Office:** National Park Service, Division of Recreation Resource Development, Department of the Interior, Washington, DC 20240. Contact: William Spitzer, (202) 272-3730.

**RELATED PROGRAMS:** 13.676, Surplus Property Utilization; 15.916, Outdoor Recreation—Acquisition, Development and Planning; 15.917, Recreation—Technical Assistance; 39.002, Disposal of Federal Surplus Real Property.

**EXAMPLES OF FUNDED PROJECTS:** Nature Study Areas - Wildlife Conservation Areas; Intensively Developed Play Area; Regional Parks; Arts/Crafts Youth and Senior Citizen Areas; Historic Monuments (Buildings) and/or Archeological Areas.

**CRITERIA FOR SELECTING PROPOSALS:** Suitability of real property for the proposed use and the ability of the applicant local unit of government to carry out the proposed program of use.

## 15.919 URBAN PARK AND RECREATION RECOVERY PROGRAM

**FEDERAL AGENCY:** NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Urban Park and Recreation Recovery Act of 1978, Title 1, Public Law 95-625; 16 U.S.C. 2501-2514.

**OBJECTIVES:** Federal grants to economically hard pressed communities specifically for the rehabilitation of critically needed recreation areas and facilities, and development of improved recreation planning.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Recovery Action Program grants are matching grants (50 percent Federal-50 percent local) to local governments for the development of local park and recreation system recovery plans. Eligible activities include resource and needs assessments, coordination, citizen involvement and planning, and program development activities to encourage public definition of goals. Recovery Action Program grants are chiefly intended to assist local efforts to develop priorities and strategies for overall recreation system recovery. State, local and private funds may be used as the non-Federal share of project costs. In addition, two types of Federal funds may be used as part of a local match: General Revenue Sharing (Treasury Department) and Community Development Block Grant (CDBG) program funds (Department of Housing and Urban Development). Section 1009 of the UPARR Act prohibits use of any other type of Federal grant to match UPARR grants. All properties assisted through this program must be open to the public. **Rehabilitation grants** are matching capital grants (70 percent Federal-30 percent-local) to local governments for the purpose of rebuilding, remodeling, expanding, or developing existing facilities. Funds may not be used for routine maintenance and upkeep activities nor may they be used for acquisition. In fiscal year 1982 the rehabilitation funds will not be available. **Innovation grants** are matching grants (70 percent Federal-30 percent local) to local governments to cover costs of personnel, facilities, equipment, supplies or services designed to demonstrate innovative and cost effective ways to enhance park and recreation opportunities at the neighborhood level. Innovative grant funds may be used to address common problems related to facility operations and the delivery of recreation services. These funds may not be used for routine operation and maintenance activities. Innovative grant awards nationwide are limited to ten percent of the total annual authorization for the Urban Park and Recreation Recovery program.

## ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Eligible applicants are cities and counties meeting the eligibility requirements and listed in the October 9, 1979, Federal Register. Eligibility is based on need, economic and physical distress, and the relative quality and condition of urban recreation facilities and systems. Jurisdictions which are located within standard metropolitan statistical areas that are not on the eligibility listing may apply for discretionary funds provided that these grants are in accord with the intent of the program. These discretionary funds are limited to 15 percent of the funds available annually for rehabilitation, innovation and recovery action program grants. Congress has specified in the fiscal year 1982 Interior Appropriations Act (Public Law 97-100) that fiscal year 1982 grant funds ($7.7 million) may be used only "for supplemental grants to existing innovation grants". This means that, for 1982. only those localities that have previously received innovation grants will be eligible to compete for these funds.

**Beneficiary Eligibility:** Same as Applicant Eligibility; the general public.

**Credentials/Documentation:** Jurisdictions must have an approved Recovery Action Program on file with the Service in order to compete for rehabilitation and innovation grants. This document outlines the high priority recreation needs of jurisdictions and is a step toward good recreation planning. The plans must be submitted to and approved by National Park Service regional offices before a jurisdiction can apply for funding. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

## APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I Attachment A of OMB Circular No. A-95 (Revised). In order to reduce the amount of time and documentation needed for a formal application, and to foster the competitive aspects of the UPARR program, a preapplication procedure is used. (a) The preapplication should provide information adequate to guide proposal selection. Grants will be awarded in accordance with the availability of funds. Funding for an approved grant will not be increased from subsequent yearly appropriations. (b) Applicants are encouraged to discuss their proposals with their NPS Regional Office to determine basic eligibility and appropriateness prior to submitting a preapplication. If a State is assisting the applicant in preapplication preparation, providing a source of matching share, or giving technical assistance, the State may wish to assist in submission of the preapplication to the appropriate NPS Regional Office.

**Application Procedure:** Preapplication shall be submitted to the appropriate National Park Service Regional Office by the chief elected executive officer of the applicant jurisdiction. Only basic information should be submitted at this time. The preapplication must include those items as set forth in the Preapplication Handbook available from any National Park Service Regional Office.

**Award Procedure:** All rehabilitation and innovation grant proposals will first be reviewed by the regional office to assure that they meet all minimum legal standards. When this review has been completed, and if a proposal meets the minimum legal standards, it will be certified as eligible for funding. Proposals not meeting minimum legal standards will be returned to the applicant. Periodically (three times a year once the program is fully operational), all certified proposals will be evaluated and ranked in the regional offices. The highest priority proposals within established funding limits will be submitted to the National Park Service, Washington, DC Office where they will be judged by panels whose members are knowledgeable in recreation and urban revitalization. Innovation and rehabilitation proposals will be ranked separately. Following review and ranking by the panels, the Director will approve tentative grant offers for those proposals which may be funded. Successful applicants will be notified by the National Park Service Regional Offices, and completion of the formal application process will take place. The formal application process must be completed within 120 days of notification of the tentative grant offer, or the tentative grant offer may be withdrawn. Final approval of the grant and obligation of funds will occur when all application requirements have been met and the appropriate documents are on file. Recovery Action Program (planning) grants, unlike Rehabilitation and Innovation grants, require a single application and competition at the regional level.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Within 30 days.

**Appeals:** None.

**Renewals:** Not applicable.

## ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** (a) Recovery Action Program grant matching. Up to 50 percent matching grants are authorized for the preparation of Recovery Action Programs. Local in-kind donations of assistance (salaries, supplies, printing, etc.) for the preparation of a Recovery Action Program may be used as part of the 50 percent local match. State in-kind donations for the preparation of a Recovery Action Program may also be used as part of a local match (part of the 50 percent). Any costs for which a Federal match is sought must be well documented to provide adequate accountability for audit purposes. (b) Rehabilitation and Innovation grant matching. The program provides for 70 percent Federal match for rehabilitating existing recreation facilities and areas. Seventy percent matching funds are also authorized to local governments for innovation grants which will address widespread coordination, management and access problems through innovative and cost effective approaches; as an incentive for State involvement in the recovery of urban recreation systems, the Federal government will match, dollar for dollar, State contributions to the local share of an Innovation or Rehabilitation; up to 15 percent of the approved grant. The Federal share will not exceed 85 percent of the approved grant.

**Length and Time Phasing of Assistance:** Construction activities in either Rehabilitation or Innovation proposals will be limited to three years or three full construction seasons, whichever is greater. Innovation proposals which consist of service or program stages (e.g., hiring or training personnel, and action/element before actually providing the recreation service) must be initiated within one year from grant approval.

## POST ASSISTANCE REQUIREMENTS:

**Reports:** Inspection reports will be requested on completed projects assisted through UPARR. Reports are required with billings.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform requirements for grants to State and local governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Maintain records to facilitate audit, including records that fully disclose the amount and disposition of assistance; the total cost of the project; and the amount and nature of that portion of the cost supplied by other sources.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0720-0-1-303.

**Obligations:** (Grants) FY 81 $60,000,000; FY 82 est $8,000,000; and FY 83 est $1,400,000.

**Range and Average of Financial Assistance:** Rehabilitation Grants, $8,438 to $5,250,000; Innovation Grants, $7,000 to $1,100,000; Recovery Action Program Grants, $2,750 to $175,000. In 1982, no funds are available for Rehabilitation grants. $7,680,000 are available for Innovation grants to former Innovation grant recipients (see "Eligibility").

**PROGRAM ACCOMPLISHMENTS:** Through the planning requirement and grant assistance the program is beginning to help communities restore their park and recreation systems. The planning process which has been developed will help communities plan effectively for their park and recreation needs. Rehabilitation and Innovation Grants: In 1979 and 1980 - 170 for 58.7 million. Recovery Action Program (planning) Grants: In 1979 and 1980 - 205 grants for $4.3 million. Rehabilitation and Innovation Grants: In FY 81,153 grants for $58.4 million. RAP Grants: FY 81-70 grants for $2.0 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** October 9, 1979 Federal Register. (Eligibility), March 10, 1980 Federal Register (Planning), October 29, 1980 Federal Register (Grant Procedures).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** National Park Service, Division of State, Local and Urban Programs, Washington, DC 20240. Telephone: (202) 272-3516. Contact: Sam Hall, Chief.

**RELATED PROGRAMS:** 11.304, Economic Development—Public Works Impact Projects; 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 15.916, Outdoor Recreation—Acquisition, Development and Planning.

**EXAMPLES OF FUNDED PROJECTS:** Rehabilitation grants have been awarded to renovate a wide variety of existing community park and recreation facilities. Innovation grants have been awarded to demonstrate unique and cost-effective methods for providing better recreation services. Successful proposals have utilized volunteer citizen corps for maintaining neighborhood parks, promoted anti-crime and safety programs in parks, and have used new techniques to coordinate public-private sharing of recreation resources and facilities. Other proposals have been successful in providing recreation for the handicapped and senior citizens, through outreach programs and community extension services.

**CRITERIA FOR SELECTING PROPOSALS:** The program is competitive and the demand for grants far exceeds the available funds. Preapplications are rated and ranked in accordance with a national ranking system to ensure that grants are fairly and equitably awarded. Full applications are invited based on the ranking of the preapplications. Ranking factors include population, condition of existing recreation areas and facilities, demonstrated deficiencies at the neighborhood level particularly for minority and low moderate income residents, public participation extent of project support by local government, the extent to which the project will provide employment opportunity, and the amount of State and private support.

## 15.950 NATIONAL WATER RESEARCH AND DEVELOPMENT PROGRAM

### (Focused Research and Development Program)

**FEDERAL AGENCY:** OFFICE OF WATER RESEARCH AND TECHNOLOGY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Title I, Section 105(b), and Title II of the Water Research and Development Act of 1978; Public Law 95-467, 42 U.S.C. 7815.

**OBJECTIVES:** To support needed research and development into any aspects of water-related problems deemed desirable in the national interest including R and D relating to fresh and saline water resources.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** To meet the necessary expenses of specific water resources R and D projects. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Educational institutions, private foundations or other institutions, Federal, State and local governmental agencies, and private firms and individuals whose training, experience, and qualifications are adequate for the conduct of water research or development projects.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proponent must furnish evidence of applicant's qualifications for performance of the proposed research or development. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State and local governments submitting proposals are required to use standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102.

**Application Procedure:** OWRT distributes general guidelines as to research and development areas of interest along with proposal submittal instructions to potential applicants. Applicants submit unsolicited pre-proposals or proposals to OWRT for review and evaluation. Proposals from the academic community are to be transmitted to OWRT through the appropriate State Water Research and Development Institute. Each proposal should state (1) the nature of the project to be undertaken, (2) the period for which it will be pursued, (3) the objectives expected to be attained, (4) the qualifications of the personnel who will conduct and direct the project, (5) the importance of the project to water economy of the nation, (6) its relation to other known research or development projects currently pursued, and (7) an appropriate budget. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** OWRT advises successful and unsuccessful applicants, and negotiates appropriate funding agreement. Notification of awards to State or local governmental agencies must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Unsolicited proposals may be submitted at any time unless specific deadlines are included in notices of areas of priority R and D interest.

**Range of Approval/Disapproval Time:** 150 to 180 days.

**Appeals:** None.

**Renewals:** Renewals are considered by submitting a proposal for a new project or project phase for evaluation and possible approval. Resubmission would include synopsis of work already completed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No cost sharing is required by statute; however, some cost sharing may be required to meet provisions of FMC 73-3, and significant cost sharing may be appropriate.

**Length and Time Phasing of Assistance:** Length of time for research project accomplishment varies. Usually, projects are not to exceed three years. There is no time phasing of the assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and annual project progress reports. Final completion reports, setting forth project accomplishments, are required. Special reporting requirements may be included in specific grants, contracts or other agreements.

**Audits:** Audit of contracts and grants are conducted at the direction of, or on behalf of, the Department of the Interior and OWRT.

**Records:** Books and records must be maintained reflecting financial transactions of grants and contracts. They shall be retained and made available for audit for 3 years after the grantee's last disbursement of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0115-0-1-301.

**Obligations:** (Grants and contracts) FY 81 $13,740,000; FY 82 est Not available; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $25,000 to $250,000; $90,000.

**PROGRAM ACCOMPLISHMENTS:** Copies of Research and Development Project Completion Reports can normally be purchased from National Technical Information Service, Springfield, VA 22151. An estimated 45 projects will be funded during fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** OWRT Annual Reports, OWRT Procedures Memo 80-2, July, 1980, "Guidelines for Preparation and Submittal of Research and Development Proposals". General program information brochure.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Water Research and Technology, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-4607. Contact: F. Wm. Koop or George C. Cassaday.

**RELATED PROGRAMS:** 15.804, Water Resources Investigations; 15.951, Water Resources Research and Technology— Assistance to State Institutes; 15.952, Water Research and Technology—Matching Funds to State Institutes; 15.953, Water Resources Scientific Information Center; 65.001, Water Resources Planning; 66.419, Water Pollution Control—State and Interstate Program Grants; 66.505, Water Pollution Control—Research, Development, and Demonstration Grants; 66.506, Safe Drinking Water Research and Demonstration Grants.

**EXAMPLES OF FUNDED PROJECTS:** Effects of Centrifuge Acceleration and Glow on the boundary layer during reverse osmosis. Research and Development on a spiral-wound membrane system for single stage seawater desalination. Research for legal and Institutional Barriers to the Development and Utilization of water Reuse Programs in the New England Region. Impact Upon Water Conservation in Tucson, Arizona, of Incentives, Disincentives and Pricing. Water Recycling in the Food Processing Industry. Water Reuse: A critical review for a Major Urban Center.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals are submitted in response to periodically published research and development areas of priority interest. Proposals are selected for funding on the basis of responsiveness to priority needs, soundness of technical approach, experience and reputation of proposer, uniqueness of approach, adaptability of project results to the solution of specific water problems, probability of success, and comparative cost.

## 15.951 WATER RESOURCES RESEARCH AND TECHNOLOGY—ASSISTANCE TO STATE INSTITUTES

### (Annual Cooperative Program)

**FEDERAL AGENCY:** OFFICE OF WATER RESEARCH AND TECHNOLOGY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Title I, Section 101(a), of the Water Research and Development Act of 1978; Public Law 95-467; 42 U.S.C. 7811.

**OBJECTIVES:** To provide financial support to Water Research and Technology Institutes located at designated State universities in each of the 50 States, Puerto Rico, the District of Columbia, Guam, and the Virgin Islands, to work on one or more aspects of problem oriented water resources research, disseminate information as to research results, and train scientists.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To provide the State institutes with funds to support a continuing program of problem oriented water resources research and development and training. This may include basic or applied research and technology development, setting up conferences to discuss R and D needs or results, R and D information dissemination, and training of scientific personnel. In general the funds are used to study regional, State, or local water problems, but the results often have national significance. Federal funds cannot be applied to (1) formal instructional activities, adult or public education, extension or similar activities, or (2) the cost of permanent buildings, either directly or indirectly. Indirect or overhead costs are also supported from non-Federal funds. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** One State University Water Research and Development Institute in each State, Puerto Rico, the District of Columbia, Guam and the Virgin Islands, is designated pursuant to Title I of the Water Research and Development Act of 1978. Other colleges and universities, may participate in the program in cooperation with, and administered by, the designated State institute.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** State institutes submit annual programs for review and approval by Director, OWRT. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** OWRT approves or rejects, in part or as a whole, the program submitted by each State. The State institutes are notified of any amendments necessary to obtain OWRT approval. Notification of awards must be made to designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** For fiscal year 1983, not later than May 1, 1982.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** Deficiencies noted by OWRT can normally be corrected by the State institutes.

**Renewals:** Renewals are available by submission of subsequent year State institute program for approval. For continuing research projects, renewal applications must include synopsis of work already completed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Equal amounts to each State Water Research and Development Institute on a basis of two Federal shares to not less than one non-Federal share. Assurance must be provided to OWRT that programs were developed in close consultation and collaboration with leading water resource officials within the States. The institutes support all indirect or overhead costs which may be credited as portion of non-Federal share.

**Length and Time Phasing of Assistance:** Assistance is on an annual, fiscal year basis. Time phasing is as needed by the institutes.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each State institute makes an annual progress report relating to its program and activities. R and D project completion reports are required for all projects supported by the program.

**Audits:** Audits of State programs are conducted at the direction or on behalf of the Department of the Interior and OWRT.

**Records:** Directors of the State institutes are responsible for maintaining books and records reflecting financial transactions of the program. They shall be retained and made available for audit for three years after allottee's last disbursement of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0115-0-1-301.

**Obligations:** (Grants) FY 81 $6,210,000; FY 82 est $0; and FY 83 est $0. (This program is proposed for elimination.)

**Range and Average of Financial Assistance:** Each State institute and the Virgin Islands, Guam, and the District of Columbia received $110,000 annual grant for fiscal year 1980.

**PROGRAM ACCOMPLISHMENTS:** Research and development project completion reports can normally be purchased from National Technical Information Service, Springfield, VA 22151. There were 339 new projects funded in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** OWRT annual report, OWRT Policy/Procedure Memorandum 80-1 February, 1980 program information brochure.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Water Research and Technology, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-4607. Contact: F. Wm Koop or George C. Cassaday.

**RELATED PROGRAMS:** 15.804, Water Resources Investigations; 15.950, National Water Research and Development Program; 15.952, Water Research and Technology—Matching Funds to State Institutes; 15.953, Water Resources Scientific Information Center; 65.001, Water Resources Planning; 66.423, Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications.

**EXAMPLES OF FUNDED PROJECTS:** Water conservation: A Behavior Approach for inducing Reduced Residential Consumption. Reuse of Agricultural Drainage Waters for on-site Water Recharge on irrigation. Microbial Pesticide in the Iowa River. Mathematical Model for Water Quality in streams Impacted by Point and nonpoint Sources Pollution. Penetration of Solar Radiation in Snow-Ice covered Reservoirs: "Winterkill".

**CRITERIA FOR SELECTING PROPOSALS:** Sponsored State Water Research Technology Institutes submit proposed annual research and development programs to OWRT. Each annual program typically consists of 4 to 8 new or continuing research projects. Projects are focused on State and regional priority water problems. A grant of $110,000 in fiscal year 1980 was made to each State Institute provided at least one non-Federal share is furnished for every two Federal shares. For this program, for fiscal year 1981, $116,000 has been requested for each State institute.

## 15.952 WATER RESEARCH AND TECHNOLOGY—MATCHING FUNDS TO STATE INSTITUTES

### (Matching Grant Program)

**FEDERAL AGENCY:** OFFICE OF WATER RESEARCH AND TECHNOLOGY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Title I, Section 105(a), of the Water Research and Development Act of 1978; Public Law 95-467; 42 U.S.C. 7815.

**OBJECTIVES:** To provide matching funds, on a dollar-for-dollar matching basis, to Water Resources Research and Technology Institutes located at a designated State university in each of the 50

States, Puerto Rico, the District of Columbia, Guam and the Virgin Islands, to train scientists and support work in various aspects of water research and development which could not otherwise be undertaken.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To provide the funds to meet the necessary expenses of specific problem-oriented water R and D projects which could not otherwise be undertaken, including the expenses of planning and coordinating regional water resources research projects by two or more institutes. In general the funds are used to study regional water problems, but the results often have national significance. Federal funds cannot be applied, either directly or indirectly, to (1) formal instructional activities, adult or public education, or (2) the cost of permanent buildings. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Water Research and Technology Institutes as designated pursuant to Section 101a Title I of the Water Research and Development Act of 1978. Other colleges and universities may participate in the program in cooperation with, and administered by, the appropriate State Water Resources Research Institute.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** At designated State university Water Research and Technology Institute level.

**Application Procedure:** Submission of proposals by the designated State institute to OWRT for review and evaluation. Each proposal must state (1) the nature of the project to be undertaken, (2) the period for which it will be pursued, (3) objectives expected to be attained, (4) the qualifications of the personnel who will conduct and direct it, (5) the importance of the project to the water economy of the Nation, the region, and/or the State concerned, (6) its relation to other known research projects currently or previously pursued, (7) the extent to which it will provide opportunity for training of water research scientists, and (8) an appropriate budget. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** OWRT approves or rejects individual projects and is responsible for notification of selection or rejection to potential grantees. Notification of awards must be made to designated State Central information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** For fiscal year 1983, about February 1, 1982.

**Range of Approval/Disapproval Time:** 90 days.

**Appeals:** Reapplication may be made after deficiencies are corrected. Project proposals may be resubmitted for subsequent-year consideration.

**Renewals:** Renewals are available by submitting proposal for a new project or project phase for consideration. Submission would include synopsis of work already completed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** State institutes must at least match Federal funds with funds from non-Federal sources on a dollar for dollar basis.

**Length and Time Phasing of Assistance:** Length of time for R and D project accomplishment varies, but usually not in excess of three years. There is no time phasing of the assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each State institute makes an annual progress report relating to the projects currently ongoing. Project completion reports required.

**Audits:** Audits of projects are conducted at the direction of or on behalf of the Department of the Interior and OWRT.

**Records:** Officers of State Institute are responsible for maintaining books and records reflecting financial transactions of the projects being conducted in the Institute.

**FINANCIAL INFORMATION:**

**Account Identification:** 14-0115-0-1-301.

**Obligations:** (Grants) FY 81 $5,480,000; FY 82 est $0; and FY 83 est $0. (This program is proposed for elimination.)

**Range and Average of Financial Assistance:** $10,000 to $195,000; $62,000.

**PROGRAM ACCOMPLISHMENTS:** Copies of Research and Development Project Completion Reports can normally be purchased from National Technical Information Center, Springfield, VA 22151. Seventy-nine new projects were funded in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** OWRT Annual Report; OWRT Policy/Procedure Memorandum 80-3, August 1980; descriptive program brochure.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Water Research and Technology, Department of the Interior, Washington, DC 20240. Telephone: (202) 343-4607. Contact: F. Wm. Koop or George C. Cassaday.

**RELATED PROGRAMS:** 15.804, Water Resources Investigations; 15.950, National Water Research and Development Program; 15.951, Water Resources Research and Technology—Assistance to State Institutes; 65.001, Water Resources Planning; 66.423, Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications.

**EXAMPLES OF FUNDED PROJECTS:** Water Reclamation by use of Soil-Turfgrass Systems in the Southwest. Artificial recharge using harvested surface runoff. Institutional aspects affecting the management of Water Resources in California agriculture. An investigation into hazardous phenotic compounds from petroleum sources and urban runoff. Toxic substance models for the upper Mississippi and Missouri rivers. Hydrogeology of the inner Bluegrass Karst Region, Ky: Water tracing studies. Microbial degradation of Kepone in Chesapeake Bay. Removal of heavy metal from reuse waters with synthetic polyme adsorbents.

**CRITERIA FOR SELECTING PROPOSALS:** OWRT issues guidelines setting forth priorities for this program. State Institutes propose projects of interest to their State or region which the Institute could not undertake without Federal assistance. Federal support must be matched, on not less than a dollar for dollar basis, by funds available to the Institutes from non-Federal sources. Proposals are reviewed by OWRT and projects to be funded are selected on basis of responsiveness to priority areas of interest; applicability of results to specific water needs or problems; probable utility of results to area or multistate needs; originality of approach; chance of success; experience of investigators. Competition is keen between State Institutes for the limited funds available.

## 15.953 WATER RESOURCES SCIENTIFIC INFORMATION CENTER

## (WRSIC)

**FEDERAL AGENCY:** OFFICE OF WATER RESEARCH AND TECHNOLOGY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:** Water Research and Development Act of 1978, Sections 301 and 302; Public Law 95-467, 42 U.S.C. 7851.

**OBJECTIVES:** To be responsive to technical and scientific information needs, and to provide improved communication and coordination among all those engaged in federally sponsored water resources research and development.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Center provides current information on water resources research and development by means of a semimonthly research results abstract bulletin, state-of-the-art reviews, and topical bibliographies. Abstracts of ongoing research projects and findings are available. Although complete copies of research reports are not distributed by the Center, many are available for purchase from the National Technical Information Service (NTIS). The Center also operates a computerized retrieval program to supply basic research and development information in response to specific inquiries. There are no restrictions on use of information furnished by the Center.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Any individual or organization may purchase WRSIC publications from NTIS.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

FINANCIAL INFORMATION:

**Account Identification:** 14-0115-0-1-301.

**Obligations:** (Salaries and expenses) FY 81 $900,000; FY 82 est Not available; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: Each year some 14,000 abstracts describing results of completed research classified by 10 water resource research fields and 60 groups are published in the semimonthly Selected Water Resources Abstract journal. An on-line computer lists all ongoing projects on file with the Smithsonian Science Information Exchange.

REGULATIONS, GUIDELINES, AND LITERATURE: Descriptions of OWRT's water resources research, training, and technical information dissemination programs are available on request. "Selected Water Resources Abstracts": National Technical Information Service (NTIS), Department of Commerce, Springfield, VA 22151 (annual subscriptions $75 domestic. Additional $50.00 charge for index volume). Topical bibliographies: NTIS (prices of paper copies vary per bibliography-3.00 per microfiche copy). Special subject searches: WRSIC, Office of Water Research and Technology, Department of the Interior, Washington, DC 20240. Prepayment is required for all publications and services.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Office of Water Research and Technology, Department of the Interior, Washington, DC 20240. Contact: Michael Page. Telephone: (202) 343-8435.

RELATED PROGRAMS: 11.650, National Technical Information Service; 15.804, Water Resources Investigations; 15.950, National Water Research and Development Program; 15.951, Water Resources Research and Technology— Assistance to State Institutes; 65.001, Water Resources Planning.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Program provides an information service on water Research and Development activities.

# DEPARTMENT OF JUSTICE

## DRUG ENFORCEMENT ADMINISTRATION

### 16.001 LAW ENFORCEMENT ASSISTANCE—NARCOTICS AND DANGEROUS DRUGS—LABORATORY ANALYSIS

**FEDERAL AGENCY:** DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Comprehensive Drug Abuse Prevention and Control Act of 1970. Reorganization Plan No. 2 of 1973.

**OBJECTIVES:** To provide drug evidence analysis, expert testimony in court, and technical assistance to law enforcement agencies concerning narcotics, and other abused drugs.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** For use by law enforcement agencies requiring expert analysis of drug evidence.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, officials of law enforcement agencies, forensic laboratories.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must furnish suitable credentials.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Made in the form of a letter on official letterhead; or in an emergency, by telephone, to the regional laboratory of the DEA or the Office of Science and Technology at Headquarters.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1100-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $1,963,000; FY 82 est $1,375,000; and FY 83 est $1,546,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 8,589 drug samples were analyzed. The estimate for fiscal year 1982 is 6,000; and fiscal year 1983 is 6,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the regional laboratories of the DEA; see the Catalog appendix for a list of the addresses of the regional laboratories.

**Headquarters Office:** Director, Office of Science and Technology, Attention: Chief, Forensic Sciences Division, Drug Enforcement Administration, 1405 I Street, N.W., Washington, DC 20537. Telephone: (202) 633-1286. Contact: Clayton McNeill. Telephone: (202) 633-1051.

**RELATED PROGRAMS:** 16.301, Law Enforcement Assistance—FBI Crime Laboratory Support; 16.303, Law Enforcement Assistance—FBI Fingerprint Identification; 21.051, Alcohol, Tobacco, and Firearms—Laboratory Analysis.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 16.002 LAW ENFORCEMENT ASSISTANCE—NARCOTICS AND DANGEROUS DRUGS—STATE LEGISLATION

### (Uniform State Controlled Substances Act)

**FEDERAL AGENCY:** DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Comprehensive Drug Abuse Prevention and Control Act of 1970. Reorganization Plan No. 1 of 1968; Reorganization Plan No. 2 of 1973.

**OBJECTIVES:** To assist States in drafting enforcement and regulatory legislation relating to controlled substances, and to effect uniform drug laws among the States and the Federal Government.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** For use by the States of the United States.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State officials at the executive or legislative levels.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicant must present suitable credentials.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Made in the form of a letter on official letterhead.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1100-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $3,000; FY 82 est $3,000; and FY 83 est $3,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Three territories and 47 States have adopted the Uniform Act. Model Drug Paraphernalia Act drafted in August 1979, and DEA is assisting States and localities in enacting and defending court challenges to the Act. Twenty-three States and many localities have also adopted the Act.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Literature includes model regulations, model indictments, and extensive supporting material for regulation of legitimate drug industry.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Chief Counsel, Drug Enforcement Administration, 1405 I Street, N.W., Washington, DC 20537. Contact: William M. Lenck. Telephone: (202) 633-1276.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.003 LAW ENFORCEMENT ASSISTANCE—NARCOTICS AND DANGEROUS DRUGS TECHNICAL LABORATORY PUBLICATIONS

### (Microgram)

**FEDERAL AGENCY:** DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Comprehensive Drug Abuse Prevention and Control Act of 1970. Reorganization Plan No. 2 of 1973.

**OBJECTIVES:** To disseminate scientific information on the detection and analysis of narcotics and dangerous drugs.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** To provide current information on detection and analysis of narcotics and dangerous drugs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Forensic laboratories or scientists doing work for law enforcement agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must apply on official letterhead of a law enforcement agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Made in the form of a letter to the Office of Science and Technology at Headquarters.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1100-0-1-751.

**Obligations:** (Expenses) FY 81 $15,541; FY 82 est $15,600; and FY 83 est $17,160.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 12 issues were published. Present distribution 1,400 per issue.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Microgram" -no charge to eligible applicants.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Office of Science and Technology, Attention: Chief, Forensic Sciences Division, Drug Enforcement Administration, 1405 I Street, N.W., Washington, DC 20537. Telephone: (202) 633-1286. Contact: Clayton McNeill. Telephone: (202) 633-1051.

**RELATED PROGRAMS:** 13.242, Mental Health Research Grants; 16.005, Public Education on Drug Abuse—Information.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.004 LAW ENFORCEMENT ASSISTANCE—NARCOTICS AND DANGEROUS DRUGS TRAINING

**FEDERAL AGENCY:** DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Comprehensive Drug Abuse Prevention and Control Act of 1970. Reorganization Plan No. 2 of 1973.

**OBJECTIVES:** To acquaint appropriate professional and enforcement personnel with (1) techniques in the conduct of drug investigations; (2) aspects of physical security in legitimate drug distribution; (3) techniques in analysis of drugs for evidential purpose; and (4) pharmacology, socio-psychological aspects of drug abuse, drug education, and investigative techniques.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** For use by accredited members of agencies or organizations involved in the control of drug abuse or regulation of the drug industry.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must furnish suitable credentials.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Made in the form of a letter or a pre-printed application to the Regional Office in the area or to the DEA National Training Institute. In the case of the 8 week police school, an application by the nominating agency must be completed.

**Award Procedure:** By letter to applicant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1100-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $1,718,000; FY 82 est $1,842,000; and FY 83 est $1,707,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 4,875 participants in the program. In fiscal year 1982, 8,000 are expected to receive training, and 8,000 are expected to receive training in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See the list of regional offices of the DEA in the Catalog address appendix.

**Headquarters Office:** Director, National Training Institute, Drug Enforcement Administration, Federal Law Enforcement Training Center, Glynco, GA 31524. Contact: Jerry N. Jenson. Telephone: (912) 230-2789.

**RELATED PROGRAMS:** 16.300, Law Enforcement Assistance—FBI Advanced Police Training; 16.302, Law Enforcement Assistance—FBI Field Police Training; 21.052, Alcohol, Tobacco, and Firearms—Training Assistance; 21.100, Secret Service—Training Activities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.005 PUBLIC EDUCATION ON DRUG ABUSE—INFORMATION

**FEDERAL AGENCY:** DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Comprehensive Drug Abuse Prevention and Control Act of 1970. Reorganization Plan No. 2 of 1973.

**OBJECTIVES:** To provide to the public, law enforcement and other agencies publications and films on drug abuse prevention.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Publications and films are provided to law enforcement agencies to assist in drug abuse prevention and drug trafficking deterrence programs through DEA field offices.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** None. Priority is given to law enforcement agencies and schools.

**Beneficiary Eligibility:** State and local communities and the public.

**Credentials/Documentation:** Not applicable.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** No grants are available.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

FINANCIAL INFORMATION:

**Account Identification:** 15-1100-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $550,000; FY 82 est $423,000; and FY 83 est $350,000.

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1980, 202,000 requests for information and publications were received and serviced.

REGULATIONS, GUIDELINES, AND LITERATURE: The following publications are among the prevention material provided in single copy free to the public and in limited quantities to related program officials: "Drugs of Abuse," "School Drug Abuse Policy Guidelines", and other publications. These publications may also be available from the Government Printing Office.

INFORMATION CONTACTS:

**Regional or Local Office:** Persons are encouraged to communicate with the field offices of the Drug Enforcement Administration for films and publications. See Catalog appendix for a list of the addresses.

**Headquarters Office:** Public Affairs Section, Drug Enforcement Administration, 1405 I Street, N.W., Washington, DC 20537. Telephone: (202) 633-1230.

RELATED PROGRAMS: 13.242, Mental Health Research Grants; 13.623, Administration for Children, Youth and Families—Runaway Youth; 16.003, Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 16.100 DESEGREGATION OF PUBLIC EDUCATION

**FEDERAL AGENCY:** CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Civil Rights Act of 1964, Title IV; Public Law 88-352; 42 U.S.C. 2000c; Public Law 92-261; Title VI; Public Law 88-352; 42 U.S.C. 2000 d; Equal Educational Opportunities Act of 1974; Public Law 93-380; 20 U.S.C. 1701, et seq.

**OBJECTIVES:** To secure equal educational opportunity for persons regardless of race, color, religion, sex, or national origin.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The Justice Department may go to court to obtain an order to desegregate a public school or public college. The Attorney General acts on the basis of a meritorious written complaint from (1) any parent or group of parents whose minor children are being deprived by a school board of equal protection of the laws; or (2) any individual or parent of an individual who has been denied admission to or not permitted to continue in attendance at a public college because of race, color, religion, sex or national origin. The Attorney General must certify that the suit will materially further the orderly process of desegregation. In addition, the Attorney General may litigate Title VI referals received from the Department of Education, previously the Department of Health Education and Welfare, to vindicate the rights of individuals excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance on account of their race, color or national origin. The Attorney General may also go to court to obtain an order to desegregate public schools pursuant to the Equal Educational Opportunities Act. Such a suit is to be brought on behalf of an individual who has been deliberately segregated on the basis of race, sex or national origin by a local or State educational agency.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Parent or group of parents in the case of public schools. An individual or his/her parents in the case of a public college.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0128-0-1-752.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981 we reached agreement with the State of Louisiana in our seven year old suit seeking to desegregate the State System of higher education, and submitted a proposed consent decree to the court. Discovery and negotiations continue in similar suit seeking desegregation of the State higher education system in Mississippi. A large portion of our efforts in the area of desegregation of elementary and secondary school systems focused on northern school systems. Final desegregation orders were entered in cases involving public schools in the metropolitan area of Indianapolis, Indiana, South Bend, Indiana, St. Louis, Missouri, and Ferndale, Michigan. Efforts were continued to obtain desegregation in Chicago, Illinois and Kansas City, Kansas, and enforcement and monitoring of desegregation in Cleveland, Ohio was on-going. In addition, new suits were initiated seeking to desegregate schools in Yonkers, New York and Lima, Ohio. The Yonker's complaint alleged discrimination in the location of public and subsidized housing as well as in the operation of the school system. This is the first time that the Government combined fair housing and school violations in a single proceeding. We also successfully argued that a State statute in the State of Washington that prohibited the use of transporation to desegregate the schools was unconstitutional. There was considerable progress in our continuing efforts to complete the desegregation process in Southern States. Plans of desegregation were ordered in East Baton Rouge Parish (Baton Rouge), Louisiana, Caddo Parish (Shreveport) Louisiana, Monroe, Louisiana, Tuscaloosa, Alabama, Birmingham, Alabama, Lubbock, Texas, and South Park (Beaumont), Texas. New school desegregation suits were filed seeking desegregation in Charleston, South Carolina, Marshall, Texas and Big Spring, Texas. In the Marshall case a final order requiring implementation of a new plan was entered. Enforcement efforts to assure proper implementation of present plans or development of new plans continued in Rapides Parish (Alexandria), Louisiana, Port Arthur, Texas and several districts in southern Alabama, including Mobile. Efforts to remedy sex-based discrimination in schools continued in four cases. We unsuccessfully argued as amicus curiae that alleged sex discrimination in the operation of the Ann Arbor, Michigan high school athletic program was covered by Title IX of the Education Amendments of 1972. A similar suit in which we are participating continues with respect to the University of Alaska athletic program. We also continued to prepare our cases against a State-operated maritime school which until recently excluded women, and Texas A and M University for its allegedly, discriminatory operation with respect to the Corps of Cadets. In another major case, we obtained a comprehensive order requiring the State of Texas to assure implementation of bilingual education programs designed to meet the educational needs of limited English proficient Mexican-American students. Decisions by the Court of Appeals affirmed lower court decisions finding a Texas statute, which effectively excluded illegal alien children from public schools, unconstitutional. Finally, a court permanently enjoined Mississippi State University from charging Iranian students tuition, finding this policy was unconstitutional.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR 0.50; Civil Rights Act of 1964; Summary of the Civil Rights Act of 1964.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, General Litigation Section, Civil Rights Division, Department of Justice, Washington, DC 20530. Telephone: (202) 633-4713. Contact: John Wilson, Office of Public Information, Department of Justice. Telephone: (202) 633-2017.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 16.200, Community Relations Service; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 84.004, Civil Rights Technical Assistance and Training.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.101 EQUAL EMPLOYMENT OPPORTUNITY

**FEDERAL AGENCY:** CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Civil Rights Act of 1964, Title VII; Public Law 88-352; 42 U.S.C. 2000(e), as amended in 1972, Public Law 92-261; and Executive Order 11246 as amended by Executive Order 11375. State and Local Fiscal Assistance Act of 1972, as amended in 1976, 31 U.S.C. 1221 et seq.; Justice System Improvement Act of 1979, 42 U.S.C. 3789d; Comprehensive Employment and Training Program Act, 29 U.S.C. 801 et seq.; Federal Aid Highway Act of 1968, as amended, 23 U.S.C. 140; Vocational Rehabilitation Act of 1973, as amended, 29 U.S.C. 793, 794; Section 5, Reorganization Plan No. 1 of 1978 (43 F. R. 19807) Executive Order 12068 (43 F. R. 28971).

**OBJECTIVES:** To enforce Federal laws providing equal employment opportunities for all without regard to race, religion, national origin or sex, and where authorized, handicap condition.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Title VII of the 1964 Civil Rights Act, as amended in 1972, and other Federal laws forbid discrimination by employers, labor organizations, employment agencies, State and local government and public agencies. Other similar statutes pertain to recipients of Federal funds. The Attorney General is authorized to sue to enjoin discrimination in employment by State and local government agencies. He also is authorized to sue to enforce the non-discrimination in employment provisions of Executive Order 11246, as amended, with respect to government contractors and sub-contractors. In addition, the Civil Rights Division represents other Federal agencies which enforce these laws when they are named as defendants. The Attorney General does not, as such, represent specific individuals though the public interest is served by obtaining relief for them through pattern and practice or 706 referral lawsuits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0128-0-1-752.

**Obligations:** (Services) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Federal Enforcement Section of the Civil Rights Division filed 10 new affirmative lawsuits to enforce equal employment opportunity provisions of Federal law, participated in 14 defensive-intervenor cases and obtained 18 consent decrees in employment cases in fiscal year 1981. For example, relief for blacks, Hispanics, and women was obtained by consent with the Los Angeles Police Department, one of the largest departments in the country with 7300 employees. In addition to hiring goals of between 20-25 percent for each group, the city agreed to allot up to $2 million for backpay and other relief for those groups who had been adversely affected by the written examination, physical agility test and minimum height standard. In North Carolina a consent decree was obtained from the State Police providing hiring goals of 50 percent and 25 percent for blacks and females respectively. In that case the height requirement, the remaining issue to be litigated, was held by the court to discriminate against women seeking to become State troopers. A second trial was held in Fairfax County, Virginia, after both sides had taken an appeal from the district court's order in the first trial in 1979, invovling employment practices on a county-wide basis. The Government prevailed on its evidence at the second trial with the court finding pervasive discriminatory practices against blacks and women in most major job classifications. Pursuant to the court's order, potential discriminatees from among 10,000 black and female applicants to the County since 1977 are being notified of their rights. The Department of Transportation (DOT) was defended in 8 suits filed against it by several State contractor associations and others seeking to enjoin the application of minority business regulations in the contract awarding of DOT's funds. Administratively, the Department of Justice issued over 4,000 "Right to Sue Notices" in response to referrals from the Equal Employment Opportunity Commission as well as in response to requests from individual charging parties.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Uniform Guidelines on Employee Selection Procedures (1978), 43 F.R. 38290.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, Federal Enforcement Section, Civil Rights Division, Department of Justice, Washington, DC 20530. Telephone: (202) 633-3831. Contact: John Wilson, Office of Public Information, Department of Justice. Telephone: (202) 633-2017.

**RELATED PROGRAMS:** 16.200, Community Relations Service; 17.102, Veterans Reemployment Rights; 17.301, Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Minimum Wage and Hour Standards; 17.700, Women's Special Employment Assistance; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices; 30.002, Employment Discrimination—State and Local Anti-Discrimination Agency Contracts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.103 FAIR HOUSING AND EQUAL CREDIT OPPORTUNITY

**FEDERAL AGENCY:** CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Civil Rights Act of 1968, Title VIII; Public Law 90-284; 42 U.S.C. 3601. Equal Credit Opportunity Acts of 1974 and 1976; Public Laws 93-495 and 94-239 respectively; 15 U.S.C. 1691.

**OBJECTIVES:** To provide freedom from discrimination on the basis of race, color, religion, sex or national origin in connection with the sale, rental, and financing of housing and other related activities. (Fair Housing Act). The Equal Credit Opportunity Act (E.C.O.A) prohibits discrimination in credit transactions on the basis of race, color, religion, national origin, sex, marital status, or age (provided the applicant has the capacity to contract,) because all or a part of the applicant's income is derived from a public assistance program, or because the applicant has in good faith exercised any right under the Consumer Credit Protection Act.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Title VIII of the Civil Rights Act of 1968 is designed to assure freedom from discrimination in the sale, rental and financing of housing, and other related activities. A private suit alleging discrimination may be filed in the appropriate Federal or State court. The Attorney General is authorized to bring civil actions in Federal courts when he has reasonable cause to believe that any person or group of persons is engaged in a pattern or practice of discrimination or when he has reasonable cause to believe any group has been denied such rights in a case of general public importance. The E.C.O.A., as amended, is designed to prohibit discrimination in all aspects of credit transactions on a prohibited basis. Persons who believe that they are victims of such discrimination may file complaints with one of the appropriate Federal regulatory agencies or may bring the information to the attention of the Attorney General. The Department of Justice is authorized to institute litigation in Federal Courts when a matter is referred to the Attorney General by an agency responsible for administrative enforcement of the Act or when he has reasonable cause to believe that one or more creditors are engaged in a pattern or practice in violation of the Act. In addition, an aggrieved person may institute suit in a Federal court. In such cases punitive damages, in an amount not to exceed $10,000 in addition to actual damages, or in the case of a class action a maximum of the lesser of $500,000 or one per centum of the net worth of the creditor, may be granted by the court.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons.

**Beneficiary Eligibility:** All persons.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable in housing discrimination, two years from date of the occurrence of the violation in E.C.O.A. matters.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0128-0-1-752.

**Obligations:** (Services) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the Division filed five new fair housing cases and obtained consent decrees in six cases. We also filed briefs as amicus curiae in two other cases. Most of these actions involved racial discrimination, although national origin and sex discrimination were also involved. Defendants were primarily apartment rental and management companies, housing developers, real estate agencies, public housing authorities and municipal governments. One of the new suits involved racially exclusionary municipal land use practices by a municipal government in Connecticut. The suit alleged that the town had prevented the development of racially integrated low and moderate income housing within its boundries in response to racially motivated citizen opposition. During the year trial in two similar suits involving municipalities in Michigan and Connecticut were conducted. We also obtained a final order in our suit against the city of Parma, Ohio, another racially exclusionary land case, which required extensive relief including an order that the city take steps to construct low-cost housing within the city and promote the city as one of open occupancy. During the fiscal year, the Division's enforcement of the Equal Credit Opportunities Act concentrated primarily on litigating existing cases. In one of our cases which alleged discrimination on the basis of age and marital status, involving the nation's largest consumer finance company, we entered a consent decree. Prior to the consent decree, the district court ruled that the statute does not authorize the Attorney General to obtain damages in pattern and practice suits, and we have filed an appeal seeking review of this aspect of the case. We also brought two new credit cases, including one alleging that a large Arizona bank discriminates against Indians in making mortgage loans and extending other types of credit. This was the first case filed by the Division involving the pratice of redlining, and the first credit case involving Indians. We also filed an amicus brief in a private redlining case.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR 0.50. The Civil Rights Act of 1968, "Summary of the Civil Rights Act of 1968". Outline of Law Relating to Discrimination in Housing, August 1977, Civil Rights Division 12 CFR 202, Regulation B, Board of Governors of the Federal Reserve System Equal Credit Opportunity.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, General Litigation Section, Civil Rights Division, Department of Justice, Washington, DC 20530. Telephone: (202) 633-4713. Contact: John Wilson, Office of Public Information, Department of Justice. Telephone: (202) 633-2017.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 14.400, Equal Opportunity in Housing; 16.200, Community Relations Service; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.104 PROTECTION OF VOTING RIGHTS

**FEDERAL AGENCY:** CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Voting Rights Act of 1965; Public Law 89-110; 42 U.S.C. 1973, as amended by Voting Rights Act Amendments of 1970 and 1975; Public Law 91-285 and Public Law 94-73; 42 U.S.C. 1971; 42 U.S.C. 1974; Overseas Citizens Voting Rights Act of 1975, Public Law 94-203, 42 U.S.C. 1973dd.

**OBJECTIVES:** To provide protection of an individual's right to register and vote in all local, State and Federal elections without discrimination on account of race, color, a membership in a language minority group, or age, and to assure the vote in Federal elections to United States citizens residing overseas.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Under the Voting Rights Act of 1965, as amended in 1970 and 1975, no voting standard, qualification, prerequisite or procedure may be imposed or applied by any State or political subdivision to deny or abridge the right of any U.S. citizen to vote on account of race or color or because an individual is a member of a language minority group. Certain specially covered States and political subdivisions are required to submit any proposed voting changes either to the District Court for the District of Columbia for a declaratory judgment that the changes do not have the prohibited purpose or effect, or, in the alternative, to the U.S. Attorney General who has 60 days in which to object to the proposed change. No proposal to which the Attorney General has objected may be put into effect pending withdrawal of the objection or a subsequent declaratory judgment by the District Court for the District of Columbia. The Attorney General may send Federal voting examiners and observers to certain designated counties when he considers their presence necessary to enforce the Fourteenth and Fifteenth Amendments. The 1970 Amendments (1) suspend the use of literacy and other tests in all States and counties not previously covered by the 1965 Act; (2) set forth uniform standards regarding durational residency requirements and absentee registration and balloting in Presidential elections; and (3) lower to 18 the minimum age for voting in Federal elections. The 1975 Amendments permanently ban the use of literacy and other such tests, and require the conduct of bilingual elections in certain jurisdictions having more than 5 percent citizenry of a single non-English language group. It is noted that 42 U.S.C. 1971 prohibits withholding the right to vote on account of racially based distinctions, bans the application of registration or voting requirements different from those applied to persons already registered or permitted to vote, and prohibits the denial of the vote to any individual, under the Fifteenth Amendment, because of an error or omission which is not material in determining whether the person is qualified to vote. Also, 42 U.S.C. 1974 allows the Attorney General or his designee access to records for Federal elections for specified periods of time. Under the Overseas Citizens Voting Rights Act, 42 U.S.C. 1973dd, the Attorney General may institute judicial proceedings to enforce the Act's guarantee to U.S. citizens living outside of the U.S. of the right to vote in Federal elections.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All U.S. citizens old enough to vote.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There is no statutory formula or matching requirements for this program.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0128-0-1-752.

**Obligations:** (Services) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Division participated in 17 new voting rights cases during fiscal year 1980. The litigation included two cases filed against the Government where the Division gave support and advice to the U.S. Attorney in actions that sought to restrict the operation of the language minority provisions of the Voting Rights Act (Section 203), 14 cases involving enforcement of the preclearance requirements of Section 5, and one case attacking the apportionment of the South Carolina Senate. Noteworthy among the Division's cases concluded this year are the following: the obtaining of a consent decree that ended four years of litigation in a vote dilution case. Under the provisions of the decree, blacks will now have a fair opportunity to elect school board members of their choice under a single-member district plan that replaces a multi-member district method of election in East Baton Rouge Parish, Louisiana; in a case involving the rights of Indians in Apache County, Arizona, a three-judge court ruled that procedures used in successive elections should be compared in order to determine whether a change has occured under Section 5, notwithstanding the fact that the elections were held for different purposes; additionally, the court found that practices which violate the language minority provisions of the Voting Rights Act cannot pass review under Section 5; in a case involving St. Landry Parish, Louisiana, the court found that a vote-buying scheme alleged to have diluted the voting rights of blacks could state a cause of action under the Voting Rights Act; on remand, the election in question was voided pursuant to consent decree, and the white perpetrators of the vote-buying scheme (including the white candidate) pled guilty of offenses under 18 U.S.C. 242; and in an action against San Francisco, California, where the Division worked closely with the U.S. Attorney's office, a three-judge court entered a sweeping and comprehensive consent decree that details outreach activities requirements which include the requirements to provide bilingual poll officials, to establish an advisory citizen task force, and to maintain records and furnish reports of activities, all designed to achieve the city's compliance with the language minority provisions of the Voting Rights Act (Section 203) with respect to Chinese and Spanish speaking citizens of San Francisco. From October 1, 1980, through July 31, 1981, the Division initially participated as a party in five suits, and as amicus curiae in three suits. Of these eight suits, four involved issues under Section 5, three attacked methods of election that dilute the voting strength of minorities, and one preserved rights under the overseas Citizens Voting Rights Act. In addition to these suits, the Division advised and counseled the U. S. Attorney's Office in the Eastern District of California regarding one suit brought by the United States under the Overseas Citizens Voting Rights Act. In fiscal year 1980, 2,422 submissions involving a total of 7,312 voting-related changes were submitted to the Attorney General under Section 5. This is the largest number of changes ever to have been submitted for Section 5 review in any single fiscal year; objections were entered to 32 submissions during the year, including an objection to a redistricting plan that would have insured that a majority of the Selma, Alabama, city council would be comprised of white members; an objection to South Dakota legislation that would have foreclosed persons in two counties, both of which are predominantly Indian, from voting for the officials who provide governmental services; an objection to a referendum that proposed the adoption of a method of electing the Port Arthur, Texas city council in a way that would further the discriminatory impact of a consolidation by Port Arthur with nearby white citites (a previous objection had been entered to the consolidation because it diluted the voting strength of blacks); and an objection to a Corpus Christi, Texas school district apportionment plan that prevented Mexican-Americans from having a fair opportunity to elect persons of their choice. In addition, proposed revisions to the procedural guidelines for the administration of Section 5 were published in the Code of Federal Regulations in order to reflect changes in the law since 1971, when the guidelines were issued, and to give jurisdictions more helpful instruction about the submission process. From October 1, 1980, through July 31, 1981, the Division received 1,556 submissions, involving 4,847 voting changes under Section 5. Fourteen objections were interposed, including objections to plans for redistricting the Senate and the house of Delegates in the Commonwealth of Virginia. On January 5, 1981, the final revised guidelines for Section 5 were published in final form in the Federal Register. Under provisons of the 1965 Act which authorize the Attorney General to assign observers to monitor elections to ensure that the right to vote and to have the vote properly counted is not denied during the election process, 1,269 observers were assigned to cover 13 elections in 5 States, including elections in 10 counties that were initially certified by the Attorney General during fiscal year 1980. This is the third largest number of Federal observers to have been assigned, and the third largest number of counties to have been certified in any fiscal year since the Voting Rights Act was enacted in 1966. Included among the 10 counties certified in fiscal year 1980 were 8 counties in Georgia, double the number of Georgia counties certified in any other single fiscal year. During fiscal year 1981, through July 31, 1981, 385 observers were assigned to cover four elections in three States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR 0.50; Voting Rights Act of 1965, "The Voting Rights Act of 1965," (a copy of this pamphlet can be purchased from the Commission on Civil Rights-CCR Special Publication No. 4); 28 CFR 51; 45 CFR 801; 28 CFR 55.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, Voting Section, Civil Rights Division, Department of Justice, Washington, DC 20530. Telephone: (202) 724-6677. Contact: John Wilson, Office of Public Information, Department of Justice. Telephone: (202) 633-2017.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 16.200, Community Relations Service; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.105 CIVIL RIGHTS OF INSTITUTIONALIZED PERSONS

### (Equal Enjoyment of Rights in Public Facilities)

**FEDERAL AGENCY:** CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Civil Rights of Institutionalized Persons Act, Public Law 96-247, 42 U.S.C. 1997; Civil Rights Act of 1964, Title III, Pubic Law 88-352, 42 U.S.C. 2000(b); Civil Rights Act of 1964, Title IV, Public Law 88-352, 42 U.S.C. 2000(c); Civil Rights Act of 1964, Title IX, Public Law 92-318, 42 U.S.C. 2000(h); Sec. 504 of Rehabilitation Act of 1973, 29 U.S.C. 794, as amended.

**OBJECTIVES:** To initiate actions for redress in cases involving deprivations of rights of institutionalized persons secured and protected by the Constitution or laws of the United States. To provide equal utilization of any public facility owned or operated by any State or subdivision thereof, without regard to race, religion or national origin.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The Attorney General is authorized to initiate or intervene in actions for equitable relief on behalf of institutionalized persons residing in State or locally operated institutions wherein a pattern or practice of egregious or flagrant conditions exists. Such institutions include: facilities for the mentally ill, retarded or chronically ill, prisons, jails, pretrial detention facilities, juvenile facilities and homes for the elderly. The Attorney General may also bring suit and request injunctive relief prohibiting discrimination on the basis of race, color, religion and national origin in the operation of public facilities when he receives and certifies as meritorious a written complaint of such discrimination.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person notifying the Attorney General of violations of the civil rights of any person confined in a State or locally operated institution in the United States.

**Beneficiary Eligibility:** Institutionalized persons confined in State or locally operated facilities such as prisons, jails, mental health facilities, juvenile detention facilities and homes for the elderly.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact headquarters offices listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0128-0-1-752.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Section is active in approximately 70 suits (including some title II public accommodations cases for which primary enforcement responsibility is carried on by the United States Attorneys) in which racial segregation and unconstitutional conditions of confinement in State operated facilities have been alleged. The Section has also participated in cases to enforce the constitutional right of persons residing in civil institutions to treatment in the setting least restrictive of their personal liberty. The Section has participated in cases which allege violations of Section 504 of the Rehabilitation Act of 1973 which prohibits discrimination on the basis of handicap. Ongoing emphasis is placed on monitoring compliance of responsible parties in our cases. In fiscal year 1981, the Court in Ruiz & United States v. Estelle (S.D.Tex.) ordered relief from unconstitutional conditions of confinement it found in the Texas Department of Corrections. The Section also received favorable decrees regarding mental health facilities in Texas, death row conditions in Georgia, and mental retardation facilities in New Hampshire.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 C.F.R. 0.50, Summary of the Civil Rights Act of 1964, 45 C.F.R. Part 84.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Chief, Special Litigation Section, Civil Rights Division, Department of Justice, Washington, DC 20530. Telephone: (202) 633-3414. Contact: John Wilson, Office of Public Information. Telephone: (202) 633-2017.

**RELATED PROGRAMS:** 13.613, Mental Retardation—President's Committee on Mental Retardation; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.200 COMMUNITY RELATIONS SERVICE (CRS)

**FEDERAL AGENCY:** COMMUNITY RELATIONS SERVICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Civil Rights Act of 1964; Public Law 88-352; 42 U.S.C. 2000g-2000g-2.

**OBJECTIVES:** To help communities and groups resolve disputes, disagreements, and difficulties arising from racial discrimination.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Community Relations Service (CRS) employs various techniques of persuasion to defuse tensions and conflicts within communities that arise from racial discrimination. The three fundamental services the CRS provides are technical assistance, conciliation, and mediation. In technical assistance, CRS identifies and analyzes the roots of community tension and recommends a corrective course of action. In conciliation, the agency informally acts as a third party to disputes to avoid or reduce violence, offer alternatives to involved parties, and influence actions or reactions toward peaceful resolution. In mediation, CRS acts as a third party intermediary in a more formal sense with sanction from the disputants, assisting them to reach a settlement of their differences. CRS may enter a community on its own initiative or upon request.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person, group, community, or State or local governmental unit that seeks to alleviate tensions caused by discrimination based on race, color, or national origin may be considered for CRS assistance.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicants for assistance may write, phone, or contact in person, headquarters or field offices. No standard form is used.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** A crisis request receives an immediate response. All requests will receive prompt attention.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Continuous until action is taken that leads to improvement or correction of the problem.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0500-0-1-752.

**Obligations:** (Salaries and expenses) FY 81 $5,540,000; FY 82 est $5,500,000; and FY 83 est $5,926,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Community Relations Service received 1,548 alerts from communities in the United States. It rendered mediation and conciliation in 1,022 cases, carried over into fiscal year 1982, 210 cases and turned away 316 for reasons of jurisdiction or resource unavailability. The agency estimates it will receive 1,650 alerts to racial trouble in fiscal year 1982, of which it will mediate and conciliate 950, carry 200 over into fiscal year 1983, and turn away 400.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Civil Rights Act of 1964"; "CRS Annual Reports"; "Crisis Response Pamphlet"; "Mediation and Education"; Mediation and Correctional Institutions"; "Examples of CRS Aid to Communities"; "Guidelines for Effective Human Relations Commissions"; "Cooperation in Racial Conflict: CRS and the Business Community"; "CRS Assistance To Courts"; "School Disruptions: Tips For Educators and Police"; "Desegregation Without Turmoil: The Role of the Multi-Racial Community Coalition in Preparing For Smooth Transition"; "CRS: A National Review"; "A Synopsis"; "Viewpoints and Guidelines on Court-Appointed Citizens' Monitoring Commissions in School Desegregation"; "School Security: Guidelines for Maintaining Safety in School Desegregation"; "Police Use of Deadly Force: What Police and the Community Can Do About It"; "Human Relations: A Guide for Leadership Training in the Public Schools"; and "National Consultation on Safety and Force: An Opportunity for Police-Minority Community Cooperation."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Atlanta, GA Room 900, 75 Piedmont Ave., N.E.; Chicago, IL Room 1113, Insurance Exchange Bldg., 175 West Jackson Blvd.; Dallas, TX Room 13B-35, Federal Bldg., 1100 Commerce Street; San Francisco, CA Room 1050, 1275 Market Street; Boston, MA Room 1920, 100 Summer Street; New York NY Room 3402, US Customs and Court House, 26 Federal Plaza; Philadelphia, PA Room 309, US Customs House, 2nd and Chestnut Streets; Kansas City, MO Room 2411 Federal Office Bldg, 911 Walnut Street; Denver, CO 4th Floor, 1531 Stout Street; Seattle, WA Room 1898, Federal Office Bldg., 915 2nd Avenue; Houston, TX Room 3624, 515 Rusk Street; and Detroit, MI Room 608, 231 W. Lafayette Blvd.

**Headquarters Office:** Community Relations Service, Department of Justice, Washington, DC 20530. Telephone: (202) 492-5929.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 14.400, Equal Opportunity in Housing; 16.100, Desegregation of Public Education; 16.101, Equal Employment Opportunity; 16.103, Fair Housing and Equal Credit Opportunity; 16.104, Protection of Voting Rights; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.300 LAW ENFORCEMENT ASSISTANCE—FBI ADVANCED POLICE TRAINING

### (FBI Academy, Advanced Specialized Courses)

**FEDERAL AGENCY:** FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Omnibus Crime Control and Safe Streets Act of 1968; Crime and Control Act of 1973; Public Law 93-83, approved August 6, 1973, Section 404(a)(1), 42 U.S.C 3701.

**OBJECTIVES:** To provide advanced training to experienced personnel of local, county, State, and selected Federal law enforcement agencies, with special emphasis on developing each graduate as a capable manager or administrator for his own department. To afford specialized advanced training to the above personnel.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** The general curriculum of the FBI Academy includes criminal law and investigations, behavioral science, forensic science, education, and management. The courses are continually adapted to meet the changing needs of law enforcement administration. Training is provided at the FBI Academy at Quantico, VA. Advanced specialized courses of instruction are provided on specific topics such as Applied Criminology, White-Collar Crimes, Latent Fingerprint Examinations, Police Law Specialists, Executive Development, Advanced Training Technology, Laboratory Matters, etc., with conferences and seminars on topics such as Budgeting, Police Killings, Crime Prevention, Bombing Investigations, and Organized Crime.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Regular, full-time personnel of a criminal justice agency serving a municipality, county, local, or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applications of candidates for enrollment in the Academy must be approved and submitted by the head of their agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Formal application to nominate representative to attend the FBI Academy general program (FBI Form FD-164) submitted by nominee's agency head, followed by interview of qualified applicants at FBI field office level. Applications of those nominated by agency heads to attend the specialized course are submitted to local office of the FBI for processing. No interview or FD-164 is needed.

**Award Procedure:** By letter to applicant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** National Academy training period of 11 weeks. Specialized training varies with subject, from one to four weeks.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0200-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $3,569,000; FY 82 est $4,095,000; and FY 83 est $4,270,000.

**Range and Average of Financial Assistance:** No award, as such, involved; however, round-trip travel from residence to Washington, DC, provided where necessary, and where eligible, to local, county, and State police officers. Housing, food, laundry and dry cleaning furnished all students at FBI Academy, Quantico, VA.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,800 persons participated in the special advanced courses; fiscal year 1982 estimate is 4,500; fiscal year 1983 estimate, 4,500. Law enforcement officials graduating from the 11 week National Academy general curriculum in fiscal year 1981 numbered 1,000; in fiscal year 1982, estimate is 1,000; and fiscal year 1983 estimate is 1,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR Section 0.85(e); Booklets entitled "The FBI National Academy," and "FBI Training Programs," no cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the nearest FBI field office; see Catalog appendix for a list of the addresses of FBI field offices.

**Headquarters Office:** Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000.

**RELATED PROGRAMS:** 16.004, Law Enforcement Assistance—Narcotics and Dangerous Drugs Training; 16.302, Law Enforcement Assistance—FBI Field Police Training; 21.052, Alcohol, Tobacco, and Firearms—Training Assistance; 21.100, Secret Service—Training Activities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.301 LAW ENFORCEMENT ASSISTANCE—FBI CRIME LABORATORY SUPPORT

### (FBI Laboratory)

**FEDERAL AGENCY:** FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Omnibus Crime Control and Safe Streets Act of 1968; Public Law 90-351, approved June 19, 1968, Section 404; 5 U.S.C. 301, 42 U.S.C. 3744, and 28 U.S.C. Section 0.85 (9).

**OBJECTIVES:** To make available the facilities of the FBI Laboratory to duly constituted municipal, county, State, and Federal law enforcement agencies in the United States and its territorial possessions.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Training.

**USES AND USE RESTRICTIONS:** Submitted evidence is examined and the FBI Laboratory also furnishes the experts necessary to testify in connection with the results of these examinations. These examinations are made with the understanding that the evidence is connected with an official investigation of a criminal matter (for Federal agencies both criminal and civil matters) and that the laboratory report will be used only for official purposes related to the investigation or a subsequent prosecution. The FBI Laboratory will not accept cases from other crime laboratories which have the capability of conducting the requested examinations. Additionally, specialized forensic training in many forensic disciplines is conducted. This training is provided to eligible applicants commensurate with available resources.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any duly constituted Federal, State and local law enforcement agency in the United States or any of its possessions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Formal request, normally written, from appropriate official of the requesting law enforcement agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Inquiries may be sent to the Director, Federal Bureau of Investigation, Washington, DC 20535, Attention: FBI Laboratory.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0200-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $5,094,000; FY 82 est $6,782,000; and FY 82 est $7,008,000

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Non-Federal scientific examinations made in fiscal year 1981 numbered 298,159; fiscal year 1982 is estimated at 330,057; and the estimate for 1983, is 330,057.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR section 0.85(g). "Procedures and Services of the FBI Laboratory," no cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix for addresses and telephone numbers of FBI Field Offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:** Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000.

**RELATED PROGRAMS:** 16.001, Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis; 16.303, Law Enforcement Assistance—FBI Fingerprint Identification; 21.051, Alcohol, Tobacco, and Firearms— Laboratory Analysis.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.302 LAW ENFORCEMENT ASSISTANCE—FBI FIELD POLICE TRAINING

### (FBI Field Police Training)

**FEDERAL AGENCY:** FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Omnibus Crime Control and Safe Streets Act of 1968 and Crime Control Act of 1973; Public Law 93-83, approved August 6, 1973, Section 404 (a) (3); 42 U.S.C. 3701.

**OBJECTIVES:** To develop the professional skills of criminal justice personnel.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Courses available from FBI instructors range from basic recruit training to specialized instruction in such areas as fingerprinting, legal topics, police-community relations, hostage negotiation, white collar crime, organized crime, computer fraud, management techniques, etc. FBI training assistance is available in complete programs of instruction or as supplemental courses to already existing local police training sessions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All authorized municipal, county, local, and State criminal justice personnel.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Contact FBI Headquarters in Washington, DC or, preferably, the nearest FBI Field Office.

**Award Procedure:** By letter to applicant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0200-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $7,916,000; FY 82 est $7,293,000; and FY 83 est $8,209,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Criminal justice personnel attending field training courses in fiscal year 1981 numbered 139,719. It is estimated that in fiscal year 1982, the number will be 143,865, and in fiscal year 1983, the estimated number is 262,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR section 0.85(e). "FBI Training Programs;" no cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with their nearest FBI field office; see the Catalog address appendix for a list of the addresses of FBI field offices.

**Headquarters Office:** Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000.

**RELATED PROGRAMS:** 16.004, Law Enforcement Assistance—Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance—FBI Advanced Police Training; 16.305, Law Enforcement Assistance—Uniform Crime Reports; 21.052, Alcohol, Tobacco, and Firearms—Training Assistance; 21.100, Secret Service—Training Activities.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.303 LAW ENFORCEMENT ASSISTANCE—FBI FINGERPRINT IDENTIFICATION

### (FBI Identification Division)

**FEDERAL AGENCY:** FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** 28 U.S.C. 534; Public Law 92-544; Public Law 94-29; and Public Law 95-405.

**OBJECTIVES:** To provide fingerprint and arrest-record services to U.S. Government and criminal justice agencies; and to provide arrest-record services to State and local governmental authorities, as well as certain authorized nongovernmental entities for employment and licensing purposes pursuant to Public Laws 92-544, 94-29, and 95-405.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Criminal identification by means of fingerprints; determination of a person's past criminal history, if any; fingerprint identification of victims of major disasters; and processing of submitted evidence for latent fingerprint impressions. Information must be used for official purposes only and is not furnished for public dissemination.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Initial request for services must be from a statutorily authorized agency; request must be written on letterhead of agency and list address of agency and title of official signing request; it must indicate that information is to be used only for criminal investigative or other official purpose authorized by statute; and reply will be sent only to head of requesting organization.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Inquiries must be sent to the Assistant Director, Identification Division, Federal Bureau of Investigation, Department of Justice, Washington, DC 20537.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0200-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $61,257,000; FY 82 est $63,954,000; and FY 83 est $67,940,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fingerprint cards processed for State and local users during fiscal year 1981, numbered 4,568,673; fiscal year 1982 estimate is 3,310,539; and fiscal year 1983 estimate is 5,025,540.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 28, CFR, Sections 0.85(b) and (j), 16.30-16.34, 20.1-20.3, 20.30-20.38, and 50.12; Booklet entitled "Science of Fingerprints," for sale by the Superintendent of Documents, U.S. Government Printing Office, Washingtion, DC 20402 - Stock Number 027-001-00024-6; Article entitled "Development of Latent Impresssions with Powder", no cost; Article entitled "Chemical Development of Latent Impressions," no cost; "Techniques for Taking Good Fingerprints," no cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for addresses and telephone number of FBI field offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:** Assistant Director, Identification Division, Federal Bureau of Investigation, Department of Justice, Washington, DC 20537. Telephone: (202) 324-5401; (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 16.001, Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis; 16.301, Law Enforcement Assistance—FBI Crime Laboratory Support; 21.051, Alcohol, Tobacco, and Firearms—Laboratory Analysis.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.304 LAW ENFORCEMENT ASSISTANCE—NATIONAL CRIME INFORMATION CENTER (NCIC)

**FEDERAL AGENCY:** FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** 28 U.S.C. 534.

**OBJECTIVES:** The FBI National Crime Information Center (NCIC) is designed to complement the development of similar metropolitan and statewide criminal justice information systems and provide a computerized central index to documented files of local and State criminal justice agencies.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The FBI National Crime Information Center (NCIC) is a computerized index of crime and criminals of nationwide interest. Included are records concerning wanted persons, missing persons, stolen property, and criminal histories which list arrest, court and custody information. Charges considered insignificant (for example, most minor and juvenile offenses) are excluded from storage in the criminal histories. In addition, on June 1, 1978, the Criminalistics Laboratory Information System (CLIS) was implemented on a prototype basis. The centralized data base, hosted by the FBI Laboratory, is open to all agencies qualified to access NCIC and provides immediate access to scientific reference information. The NCIC, located at FBI headquarters in Washington, DC, serves as a nucleus of a vast, high-speed criminal justice communications network which includes authorized local, State, and Federal criminal justice agencies throughout the United States, Canada, Puerto Rico, and the U. S. Virgin Islands. Through use of computer storage and retrieval, the Center is able to locate and transmit in seconds essential data for the efficient performance of criminal justice personnel. FBI personnel are available to assist States in setting up and operating their systems which will be connected to the NCIC computer. Technical and other consultant services as well as training are provided at no expense to State agencies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and Federal criminal justice agencies are considered for a direct tie-in with the NCIC computers. Local criminal justice agencies may participate through their State control terminal agency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Agency accessing NCIC must be an authorized criminal justice agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Agencies applying for direct tie-in should contact the Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Local agencies should inquire of their State control terminal agency.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0200-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $2,190,000; FY 82 est $2,642,000; and FY 83 est $3,015,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Transactions handled during fiscal year 1981, numbered 119,755,168. The estimate for fiscal year 1982 is 132,000,000; and fiscal year 1983 estimate is 145,200,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "NCIC Operating Manual*," no charge; "CLIS Operating Manual,"* no charge; "Make NCIC Work for You," no charge; "NCIC Newsletter," no charge. (Items marked * are restricted to criminal justice agencies.)

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000.

**RELATED PROGRAMS:** 16.305, Law Enforcement Assistance—Uniform Crime Reports; 16.550, Criminal Justice Statistics Development; 16.551, Statistics on Crime and Criminal Justice.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.305 LAW ENFORCEMENT ASSISTANCE— UNIFORM CRIME REPORTS

**FEDERAL AGENCY:** FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** 28 U.S.C. 534.

**OBJECTIVES:** To furnish information which will assist heads of law enforcement agencies in administration and operation of their departments. Further, to make data available to judges, penologists, sociologists, legislators, students, and others interested in crime and its social aspects.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The FBI collects, analyzes, and publishes certain crime statistics which it receives on a regular and voluntary basis from law enforcement agencies nationwide. These data are published annually in publication Crime In the United States- Uniform Crime Reports and is supplemented with semiannual releases. The annual publication provides information on (1) crime trends; (2) offenses known to police; (3) age, sex, race and ethnic origin of persons arrested; (4) police disposition of persons arrested; and 5) police employee information.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All participating law enforcement agencies including State and local governments are furnished a copy of the annual publication and semiannual releases. Limited copies are available to any interested individual by writing the Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Inquiries may be sent to the Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0200-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $2,024,000; FY 82 est $2,648,000; and FY 83 est $2,932,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 40,000 copies of FBI annual publication Crime in the United States were distributed. The number for fiscal year 1982 estimate is 30,000; and the estimate for fiscal year 1983 is 30,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR section 0.85 (f). "Crime in The United States-Uniform Crime Reports," Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000.

**RELATED PROGRAMS:** 16.304, Law Enforcement Assistance—National Crime Information Center; 16.550, Criminal Justice Statistics Development; 16.551, Statistics on Crime and Criminal Justice.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.400 CITIZENSHIP EDUCATION AND TRAINING

**FEDERAL AGENCY:** IMMIGRATION AND NATURALIZATION SERVICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Immigration and Nationality Act of 1952; Public Law 82-414; 66 Stat. 163; 8 U.S.C. 1003, 1443(b), 1457.

**OBJECTIVES:** To promote instruction and training in citizenship responsibilities for persons interested in becoming naturalized citizens of the United States and to initiate and further efforts on their part to learn the English language and acquire the knowledge of U.S. history and government needed to qualify for naturalization.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Immigration and Naturalization Service has prepared the Federal Textbook on Citizenship at various reading levels for use in acquiring or expanding a knowledge of English, U.S. history, government and basic citizenship responsibility. These textbooks are furnished free of charge to aliens who are receiving citizenship instruction under supervision of public schools. Various public educational institutions provide correspondence courses in citizenship education and special Immigration and Naturalization Service textbooks are used in these courses. Persons who cannot qualify for free textbooks may purchase copies from the Government Printing Office. Public school officials are furnished the names and addresses of newly arrived immigrants and other aliens who have indicated a desire to become naturalized. School officials notify these persons of citizenship classes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public schools conducting citizenship education classes for aliens, or other educational groups conducting these classes under supervision of public schools, or public educational institutions, are qualified to receive free Federal Textbooks on Citizenship and the information mentioned in Uses and Use Restrictions above.

**Beneficiary Eligibility:** Aliens have the use of free Federal Textbooks on Citizenship (regular texts) if they are receiving citizenship instruction under supervision of public schools or public educational institutions. Aliens who are enrolled in one of the approved public educational institutions listed on Immigration and Naturalization Service Form M-132 have use of the free correspondence course textbooks.

**Credentials/Documentation:** Certification on INS Form G-62.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Copies of the Immigration and Naturalization Service (INS) textbooks may be obtained by completing INS Form G-62 and filing with the nearest INS Regional office. Public school requests for names and addresses of aliens interested in attending citizenship classes may be made by letter to any INS district office. Information about the program and the availability of public school citizenship classes may also be obtained from any INS district office.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Requests for free textbooks may be renewed at any time if eligibility requirements are met.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Public schools must provide classroom facilities and instructors to teach citizenship classes. The alien students must attend these classes.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** No reports. Periodic visits to schools by naturalization attorneys assure continuing high program standards.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1217-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $45,688; FY 82 est $112,526; and FY 83 est $100,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 244,222 aliens were referred to public schools and 64,113 citizenship textbooks were distributed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 8 CFR 332 b. Literature available at no charge includes Information Concerning Citizenship Education to Meet Naturalization Requirements, Pamphlet M-132, and Naturalization Requirements and General Information, Pamphlet N-17.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local office, Immigration and Naturalization Service, or local department of public education or local public school. Initial contact should be at the regional or local level (see Catalog address appendix).

**Headquarters Office:** Assistant Commissioner, Naturalization, Immigration and Naturalization Service, Department of Justice, 425 Eye Street, N.W., Washington, DC 20536. Telephone: (202) 633-3320.

**RELATED PROGRAMS:** 84.002, Adult Education—State-Administered Program; 84.003, Bilingual Education.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.540 JUVENILE JUSTICE AND DELINQUENCY PREVENTION—ALLOCATION TO STATES

### (State Formula Grants)

**FEDERAL AGENCY:** OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Juvenile Justice and Delinquency Prevention Act of 1974, Section 201(a); Public Law 93-415, Section 223, 42 U.S.C 5601, as amended.

**OBJECTIVES:** To increase the capacity of State and local governments for the development of more effective education, training, research, prevention, diversion, treatment, and rehabilitation programs in the area of juvenile delinquency and programs to improve the juvenile justice system.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** This program, established by the Juvenile Justice and Delinquency Prevention Act of 1974, allocates formula grant funds to States and territories on the basis of their relative population under age 18. No allotment to any State shall be less than $225,000, except that for the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands and the Commonwealth of the Northern Mariana Islands, no allotment shall be less than $56,250. To be eligible, a State must submit a comprehensive plan applicable to a three-year period embodying the purposes of the Act and including provisions that: (1) provide for an advisory group appointed by the chief executive of the State to carry out specified functions and to participate in the development and review of the State's juvenile justice plan; (2) provide within three years of submission of the initial plan that juveniles who are charged with or who have committed offenses that would not be criminal if committed by an adult, or offenses which do not constitute violations of valid court orders or such nonoffenders as dependent and neglected children, are removed from secure juvenile detention and secure correctional facilities; (3) provide that juveniles alleged to be or found to be delinquent and youths within the purview of the deinstitutionalization mandate not be confined or detained in any institution in which they have regular contact with adult persons incarcerated because they have been convicted of a crime or are awaiting trial on criminal charges; and (4) provide that by December, 1985 no juvenile shall be detained or confined in any jail or lockup for adults (with specified exceptions). Once the plan is approved, each State determines the specific use of funds. The States are responsible for processing applications for funds and administering funded projects. Two-thirds of funds must be passed through to units of local government, unless a waiver is granted. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States that have established operating State Criminal Justice Councils in accordance with the Justice System Improvement Act of 1979 or States which, with the OJJDP Administrator's approval, have designated some other apropriate State agency to function in lieu of the CJC, in accordance with the Juvenile Justice Amendments of 1980 (Public Law 96-509).

**Beneficiary Eligibility:** Units of a State and its local government, public and private organizations and agencies involved in juvenile delinquency prevention, treatment, and rehabilitation.

**Credentials/Documentation:** A State Plan coordinated with the Governor's Office is required under Part III of OMB Circular No. A-95 (revised). Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is necessary for this program to determine if an environmental impact statement is required.

**Application Procedure:** The Juvenile Justice and Delinquency Prevention Formula Grant Plan is submitted to the Office of Juvenile Justice and Delinquency (OJJDP) following pre-established criteria. Refer to Section on Regulations, Guidelines and Literature.

**Award Procedure:** Letter to Governor and Criminal Justice Council Director upon approval by OJJDP, with copies of grant award to both. One copy of grant award must be signed by the Director and returned to OJJDP. Notice of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Submission of Plan must occur within 11 months following the date of OJJDP approval of prior year's plan, or by May 15 of each year. Actual date negotiated with OJJDP.

**Range of Approval/Disapproval Time:** No deadline for Formula Grant Plan component.

**Appeals:** Hearings held by OJJDP.

**Renewals:** Annual resubmission.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula based on population. Grantees are required to provide dollar for dollar match on planning funds. Action programs require no match. At least 66 2/3 percent of the funds received by the State under Section 222(a), Juvenile Justice and Delinquency Prevention Act of 1974, must be expended through programs of local government, insofar as they are consistent with the State Plan. This provision may be waived at the discretion of the OJJDP Administrator for any State if the services for delinquent or potentially delinquent youth are organized primarily on a statewide basis.

**Length and Time Phasing of Assistance:** Fiscal year action funds may be carried forward for obligation for 2 years subsequent to the fiscal year of award. Under a Letter of Credit, drawdowns may be made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial, subgrant data and others as required by the LEAA Financial Guide (M 7100.1A) on a monthly, quarterly, and/or annual basis. A performance report is required annually. See Section 223(a)(15) of the Act.

**Audits:** Full fiscal and program audits annually and other onsite inspections as needed throughout the year. Also by special request.

**Records:** Grantee must keep complete records on disposition of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0400-0-1-754.

**Obligations:** (Grants) FY 81 $63,750,000; FY 82 est $43,095,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Allocates formula grants to States and territories on the basis of relative populations under 18. $56,250 to $225,000 minimum.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 51 States and territories received funds under this program. At least 75 percent of the funds available to each State were earmarked for "advanced techniques" in preventing delinquency, diverting juveniles from criminal justice systems, and providing community-based alternatives to traditional corrections methods. All participating States and territories have established systems for monitoring jails, lockups and facilities which are used to detain or incarcerate juveniles. Substantial progress has been made in the removal of non-offender juveniles from these institutions.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations for Formula Grants (28 CFR Part 31) and LEAA Financial Guide (M7100.1B) applicable editions.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7753.

**RELATED PROGRAMS:** 16.541, Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance; 16.542, National Institute for Juvenile Justice and Delinquency Prevention.

**EXAMPLES OF FUNDED PROJECTS:** Individual projects receive funding at the discretion of the responsible Criminal Justice Councils. These include programs such as community-based services for the prevention and treatment of juvenile delinquency, group homes and halfway houses, screening and intake services to permit increased diversion from juvenile court processes, expanded use of probation and training for related personnel.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria are established by the Juvenile Justice and Delinquency Prevention Act, as amended, and the regulations governing the Formula Grant Program provisions of the Juvenile Justice and Delinquency Prevention Act as published in the Federal Register.

## 16.541 JUVENILE JUSTICE AND DELINQUENCY PREVENTION—SPECIAL EMPHASIS AND TECHNICAL ASSISTANCE

### (Program Grants, Discretionary Grants and Technical Assistance)

**FEDERAL AGENCY:** OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Juvenile Justice and Delinquency Prevention Act of 1974 (Section 201(a)); Public Law 93-415, Section 225-228, 42 U.S.C. 5601, as amended; 42 U.S.C. 3701, as amended.

**OBJECTIVES:** To develop and implement programs that design, test, and demonstrate effective approaches, techniques and methods for preventing and controlling juvenile delinquency through development and testing selected approaches for reducing and controlling violent and serious youth crime; utilization of community-based alternatives to traditional forms of official justice system processing; improvement of the capability of public and private agencies to provide delinquency prevention services to youth and their families; development of new approaches and techniques for reducing school drop-outs, unwarranted suspensions and expulsions; and through support of advocacy by groups and organizations committed to protection and improvement of the legal rights and welfare of youth. To provide technical assistance to Federal, State and local governments, courts, public and private agencies, institutions, and individuals, in the planning, establishment, operation or evaluation of juvenile delinquency programs; and to assist operating agencies having direct responsibilities for prevention and treatment of juvenile delinquency.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** To be eligible for a Special Emphasis grant, an applicant must: (1) respond to requirements of specific program guidelines issued by the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (2) be consistent with the objectives and priorities of OJJDP and the State's comprehensive juvenile justice and delinquency prevention plan; (3) provide for proper program administration, evaluation, and fiscal reporting; (4) demonstrate, in the overall quality of the proposal, that the program is technically sound and will achieve the required program objectives at the highest possible level; (5) demonstrate that the proposed project meets the requirements of relative cost effectiveness pursuant to Section 225 (c1) and (c5) of the Juvenile Justice and Delinquency Prevention Act; and (6) respond to clear and documentable needs. Technical Assistance is provided to public and private agencies, institutions, and individuals in developing and implementing juvenile delinquency programs. In addition, support is provided for the major program thrusts of OJJDP: Special Emphasis Grants, Concentration of Federal Effort, National Institute for Juvenile Justice and Delinquency Prevention, (research and evaluation) and Formula Grants to States. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicants may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Special Emphasis funds are available under the Juvenile Justice and Delinquency Prevention Act and the Justice System Improvement Act of 1979 to public and private nonprofit agencies, organizations, individuals, State and local units of government, combinations of State or local units. Technical assistance is available to States, general purpose local governments, combinations of such States or units, or other private agencies, organizations, institutions or individuals.

**Beneficiary Eligibility:** Public and private youth serving agencies/organizations, State and local units of government, combinations of such units, or other private agencies, organizations, institutions or individuals.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Special Emphasis: In some program initiatives, applicants are invited to submit preliminary applications or concept papers in response to program announcements issued by OJJDP. The original and one copy are sent to the OJJDP in Washington, and where applicable one copy is sent to the Criminal Justice Council; or the original and two copies are sent to the OJJDP if the proposed program extends beyond State boundaries. One copy should be sent to the appropriate A-95 clearinghouse and one copy to the local A-95 clearinghouse in accordance with OMB Circular No. A-95 (revised). Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Preliminary applications are not to exceed 15 pages, but may have supporting information in appendices. Preliminary applications or concept papers are judged according to pre-defined selection criteria and decisions are no subject to appeal. Those applicants judged to meet selection criteria at the highest level are invited to develop full applications. Each program announcement provides the dates for preliminary application submission. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The applicant submits an original and 2 copies of proposals on Standard Form 424 in response to specific guidelines published by OJJDP. Applicants are expected to address each concern or requirement in the guidelines as clearly and specifically as possible, giving particular attention to goal and objective statements, methodology and data requirements. Applications are rated and ranked in relation to pre-defined selection criteria.

**Award Procedure:** Special Emphasis: grants and contracts are awarded directly to applicants or may be awarded to State Criminal Justice Councils or a National Program Coordinator with a subgrant or contract to successful applicants for program administration and implementation. In either instance, both grantees and subgrantees are notified of a pending award. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Technical assistance: Funds are awarded via contract with selected organizations.

**Deadlines:** Published in program announcements or requests for proposals.

**Range of Approval/Disapproval Time:** Special Emphasis: From 1 to 3 months. Technical Assistance: From 1 to 4 weeks.

**Appeals:** Hearing held by OJJDP.

**Renewals:** Continuation grant, supplemental award or contract modification.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Special Emphasis: grants awarded under the Juvenile Justice and Delinquency Prevention Act do not require a cash match; except for construction projects, where the match is 50 percent on community based facilities of 20 beds or less. No match is required for Technical Assistance.

**Length and Time Phasing of Assistance:** Special Emphasis: Awards usually are made 18 months or with further funding based upon the project period and grantee performance. Drawdowns are possible under a Letter of Credit. Technical Assistance: Varies according to the type of request.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For Special Emphasis: quarterly and final financial and progress reports are required. For Technical Assistance: Evaluations of service are required.

**Audits:** Full fiscal and program audits will be done before or after close of grants, and on-site inspections will be made throughout the grant.

**Records:** Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for three years after the date of the final report.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0400-0-1-754.

**Obligations:** (Grants) Special Emphasis: FY 81 $53,351,000; FY 82 est $21,250,000; and FY 83 est Not available. Technical Assistance: FY 81 $3,188,000; FY 82 est $3,000,000; and FY 83 est $2,028,000.

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, Special Emphasis continuation grants were awarded under the program areas of restitution by adjudicated delinquents, model programs, a national school resource network, prevention of delinquency, and diversion from the traditional juvenile justice system, and children in custody. Previously funded initiatives continue in the areas of restitution, and prevention of school crime. Also during 1980, Special Emphasis grants were awarded on a competitive basis in the program areas of youth advocacy, replication of the Denver Project New Pride, alternative education, violent juvenile offenders, removal of juveniles from adult jails and lockups, and prevention demonstrations. Existing technical assistance efforts were continued. Several joint funding initiatives were undertaken with other Federal agencies to meet priority needs within the Concentration of Federal Effort Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Special Emphasis program guidelines are published in the Federal Register and Discretionary Grant Guide M4500.1G and Financial Guide M7100.1 are available upon request. Reports and studies developed through the OJJDP National Institute (NIJJDP) are available and can be secured by contacting OJJDP in Washington, DC.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Juvenile Justice and Delinquency Prevention, Office of Justice Assistance, Research and Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7753.

**RELATED PROGRAMS:** 16.540, Juvenile Justice and Delinquency Prevention—Allocation to States; 16.542, National Institute for Juvenile Justice and Delinquency Prevention.

**EXAMPLES OF FUNDED PROJECTS:** Technical assistance contracts have been awarded in the areas of deinstitutionalization of status offenders, delinquency prevention, improvement of the juvenile justice system and alternative responses to delinquent behavior. Special Emphasis grants were awarded for juvenile offender restitution, model programs, diversion, jail removal and prevention. (See "Program Accomplishment" section, above)

**CRITERIA FOR SELECTING PROPOSALS:** Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of the individual program announcements.

## 16.542 NATIONAL INSTITUTE FOR JUVENILE JUSTICE AND DELINQUENCY PREVENTION

**FEDERAL AGENCY:** OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Juvenile Justice and Delinquency Prevention Act of 1974 (Section 201(a)); Public Law 93-415, Section 241-251, 42 U.S.C. 5610, as amended.

**OBJECTIVES:** To encourage, coordinate, and conduct research and evaluation of juvenile justice and delinquency prevention activities; to provide a clearinghouse and information center for collecting, publishing, and distributing information on juvenile delinquency; to conduct a national training program; and to establish standards for the administration of juvenile justice.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** It is the purpose of the Institute to provide a coordinating center for the collection, preparation and dissemination of useful data regarding the prevention and treatment of juvenile delinquency; to provide training for professionals, paraprofessionals and volunteers, where activities relate to juvenile delinquency programs; and to support development of standards for the administration of juvenile justice. The funds may be used to conduct research, development and evaluation into any aspect of juvenile delinquency, including the development of new or improved programs which show promise of preventing or treating juvenile delinquency, and to carry out programs of behavioral research on the causes of juvenile crime, means of prevention, and to evaluate juvenile programs and procedures. During fiscal year 1982, funding for new research and evaluation activities will be limited to the serious/violent juvenile crime area.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private agencies, organizations, or individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Concept paper serves as a preliminary application. Standard application forms as required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applicant submits proposal on Standard Form 424. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Award package is sent to grantee. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As scheduled in annual program plan.

**Range of Approval/Disapproval Time:** From 1 to 3 months.

**Appeals:** Hearings held by OJJDP.

**Renewals:** Supplemental grants.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No match required.

**Length and Time Phasing of Assistance:** Varies; generally 1 year. Drawdowns may be made.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and subgrant data reported on a monthly, quarterly, and annual basis, as required by the OJARS Financial Guide (M7100.1) applicable edition.

**Audits:** Full fiscal and program audit annually of at least 15 percent of projects; other onsite inspections as needed throughout the year. Also by special request.

**Records:** Grantee must keep complete records on disposition of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0400-0-1-754.

**Obligations:** (Grants) FY 81 est $11,000,000; FY 82 est $10,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** In amounts consistent with the Institute's plans, priorities, and levels of financing.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the OJJDP Institute funded grants that supported a wide range of activities. The dissemination of juvenile justice standards was begun, with increasing prospects for significant system-wide improvements. Training has been provided to over 500,000 individuals, including lawyers, judges, children, administrators, practitioners, and students in various aspects of law-related education. In particular, juvenile court personnel have received extensive training in sentencing alternatives. An improved and expanded national juvenile justice statistical reporting system which fields juvenile court statistics has been developed. Research and evaluation results and data are now available on most aspects of juvenile delinquency through NIJJDP's Juvenile Justice Clearinghouse.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guidelines For Planning Grants (Guideline M4100.1 and OJARS Financial Guide M7100.1 applicable editions).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, National Institute for Juvenile Justice and Delinquency Prevention, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7573.

**RELATED PROGRAMS:** 16.540, Juvenile Justice and Delinquency Prevention—Allocation to States; 16.541, Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance; 16.560, Justice Research and Development Project Grants.

**EXAMPLES OF FUNDED PROJECTS:** Projects funded during fiscal year 1981 include Law-Related Education, Juvenile Justice Standards, Juvenile Justice Information and Management System.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are incorporated in the individual program announcements.

## 16.550 CRIMINAL JUSTICE STATISTICS DEVELOPMENT

**FEDERAL AGENCY:** BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Section 302 of the Justice System Improvement Act of 1979; Public Law 96-157; 42 U.S.C. 3701.

**OBJECTIVES:** To provide financial and technical assistance to States and local governments regarding the collection, analysis, utilization, and dissemination of justice statistics.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Cooperative Agreements.

**USES AND USE RESTRICTIONS:** To improve the administration of justice by encouraging the development of State level capabilities for collecting, analyzing, and disseminating statistical information pertaining to crime and criminal justice, and for providing statistical information to the Federal government for national compilations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The Bureau of Justice Statistics is authorized to award contracts, grants and cooperative agreements to State agencies designated with responsibility for the particular programs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must furnish, along with the application for an award, details of the budget composition, goals, impact, methods, evaluation, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A potential grantee should contact the Headquarters Office. The standard application forms as furnished by the Office of Justice Assistance, Research and Statistics (OJARS) and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms are available through inquiry to the Grants Contracts Management Division, OJARS, Department of Justice, Washington, DC 20531.

**Award Procedure:** An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:** From 2 to 3 months.

**Appeals:** Hearing by Director.

**Renewals:** Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There is no statutory requirement for matching funds. For most programs, however, provision of cash or in-kind match by the recipient is encouraged.

**Length and Time Phasing of Assistance:** Project duration period is usually one year. Assistance is released by "direct disbursement" at request of grantee or by Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** "Fiscal Reports" consisting of quarterly budget expenditure reports; final financial reports setting forth costs and expenditures of the complete project; and "Progress Reports" consisting of quarterly progress reports and a final report. Other reports may be requested.

**Audits:** Full fiscal and program audits at close of award period when appropriate; and onsite inspections as needed throughtout the award period. Pre-audits when required.

**Records:** Records and accounts concerning the expenditures of the award recipient or contractor shall be maintained during the award or contract period and retained for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0401-0-1-754.

**Obligations:** (Project Grants) FY 81 $1,647,000; FY 82 est $2,378,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $25,000 to $200,000; $40,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 56 applications were received, and 41 grants and cooperative agreements were awarded. Approximately 58 grants will be awarded during fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guideline Manual M 4500.1G. Financial Guide M 7100.1B.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** S. S. Ashton Jr., Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7770.

**RELATED PROGRAMS:** 16.304, Law Enforcement Assistance—National Crime Information Center; 16.305, Law Enforcement Assistance—Uniform Crime Reports; 16.551, Statistics on Crime and Criminal Justice; 16.553, Federal Statistics and Information Policy.

**EXAMPLES OF FUNDED PROJECTS:** State statistical analysis centers; State-level uniform crime reporting; State-level statistical systems.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria are described in announcements of individual programs.

## 16.551 STATISTICS ON CRIME AND CRIMINAL JUSTICE

**FEDERAL AGENCY:** BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Section 302 of the Justice System Improvement Act of 1979; Public Law 96-157; 42 U.S.C. 3701.

**OBJECTIVES:** To collect, evaluate, publish, and disseminate statistics and other information on crime, victimization, and the operation of the criminal justice system.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Data on crime and the criminal justice processes are collected, analyzed, published, and disseminated. Statistical assistance is given to State and local units of government through guidelines and standards for the development of criminal justice statistics systems.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person may request a copy of a report and will receive one if they are available.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Inquiries may be sent to the Bureau of Justice Statistics, Department of Justice, Washington, DC 20531.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0401-0-1-754.

**Obligations:** (Cooperative Agreements and Interagency Agreements) FY 81 $8,326,000; FY 82 est $10,118,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 22 reports were issued on subjects such as trends in criminal victimization, prisoners in State and Federal institutions, persons on parole, criminal justice expenditure and employment, State court caseload statistics, and a sourcebook of criminal justice statistics.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. Charles R. Kindermann, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7774.

**RELATED PROGRAMS:** 16.304, Law Enforcement Assistance—National Crime Information Center; 16.305, Law Enforcement Assistance—Uniform Crime Reports; 16.550, Criminal Justice Statistics Development; 16.553, Federal Statistics and Information Policy.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.553 FEDERAL STATISTICS AND INFORMATION POLICY

**FEDERAL AGENCY:** BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Justice System Improvement Act of 1979, Sections 302(c) (16) and 818; Public Law 96-157; 42 U.S.C. 3701.

**OBJECTIVES:** To develop and disseminate data describing the Federal Justice System and the Federal Offenders; to provide assistance to criminal justice agencies in achieving compliance with Federal and State privacy and security requirements; to ensure confidentiality of statistical data; and to develop and disseminate information describing fraud and white collar crime.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Cooperative Agreements; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** To disseminate data describing Federal justice activity; to provide technical assistance to State and local criminal justice agencies required to comply with privacy and security regulations; to analyze and develop techniques to ensure data confidentiality; and to identify and address issues of information policy including those issues associated with computer-related crime. No specific restrictions apply. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local units of governments; combinations of State and local units; private organizations, corporations or individuals.

**Beneficiary Eligibility:** State, local, and private organizations may receive funds.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments only.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Initial letter, to serve as preliminary proposal, should be addressed to the Headquarters Office. The standard application forms as furnished by OJARS must be completed by all applicants. OMB Circular No. A-102 applies to applications from State and local governments. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part 1, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Grant application forms are available from the Grants Contracts and Management Division, Office of Justice Assistance, Research and Statistics, Department of Justice, Washington, DC 20531. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** An award is granted by the Director, Bureau of Justice Statistics, and must be accepted by the applicant agency, institution or organization according to the special conditions of the grant or cooperative agreement. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:** From 2 to 3 months.

**Appeals:** Hearing by the Director.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There are no formula or matching requirements for this program.

**Length and Time Phasing of Assistance:** Project duration is usually 6 to eighteen months. Assistance is released by "direct disbursement" at request of grantee or by Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** "Fiscal Reports" consisting of quarterly expenditures and budget expenditure reports; final financial reports setting forth costs and expenditures of the complete project; and "Program Reports" consisting of quarterly progress reports and final report. Other reports may be requested.

**Audits:** Full scale and program audits at close of grant or cooperative agreement where appropriate; onsite inspections as needed throughout the grant. Pre-audits when required.

**Records:** Records and accounts concerning the expenditures of the grantee or contractor shall be maintained during the grant and contract period and retained for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0401-0-1-754.

**Obligations:** (Project Grants) FY 81 $450,000; FY 82 est $650,000; and FY 83 est $650,000.

**Range and Average of Financial Assistance:** $10,000 - $250,000; $156,000.

**PROGRAM ACCOMPLISHMENTS:** Five grants were awarded during fiscal year 1980. Three grants applications were reviewed in fiscal year 1981, and 3 grants were awarded. Five documents were prepared and distributed nationally in 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guideline Manual M 4500.2A. Financial Guide M 7100.1A. Federal Register/Vol. 45, No. 33/February 15, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Carol Kaplan, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7759.

**RELATED PROGRAMS:** 16.305, Law Enforcement Assistance—Uniform Crime Reports; 16.550, Criminal Justice Statistics Development; 16.551, Statistics on Crime and Criminal Justice.

**EXAMPLES OF FUNDED PROJECTS:** Privacy and Security Principles and Practices; Technical Assistance for Privacy and Security Compliance; Techniques for Ivestigation and Prosecution of Computer-Related Crime.

**CRITERIA FOR SELECTING PROPOSALS:** Relevance to Program Objectives; Qualifications of Institutions and Project Staff; Cost of Project.

## 16.560 JUSTICE RESEARCH AND DEVELOPMENT PROJECT GRANTS

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF JUSTICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Justice System Improvement Act of 1979, Public Law 96-157, Part B.

**OBJECTIVES:** To encourage and support research and development to further understanding of the causes of crime and to improve the criminal justice system.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements); Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The funds may be used to conduct research and development pertaining to the above objectives, including the development of new or improved approaches, techniques, and systems, and to carry out programs of research on the causes of crime and means of preventing crime, and to evaluate criminal justice programs and procedures. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The National Institute of Justice is authorized to make grants to, or enter into contracts or cooperative agreements with State and local governments, private, profit, nonprofit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States are also eligible to participate in this program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must furnish, along with the application for a grant, cooperative agreement or contract, resumes of principal investigator and key personnel, details of the budget composition, goals, impact, methods, evaluation, schedule and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A potential grantee or contractor should contact the Institute to determine whether a similar proposal has already been funded or whether or not the proposal is within the objectives and priorities of the Institute. Standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Proposal forms are available through inquiry to the Institute. This program is subject to the provisions of OMB Circular Nos. A-110 or A-102, where applicable.

**Award Procedure:** All applications are reviewed and evaluated by program managers, utilizing external peer review against needs of the Institute's research plan, on-going or prior studies and the particular promise of the proposal itself. Based on recommendations of program managers, division chiefs, and the Director. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 days for full proposals.

**Appeals:** Hearing by the Director.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Project - The Institute shall require, whenever feasible, as a condition of approval of a grant or contract that the recipient contribute money, facilities, or services to carry out the purpose for which the grant or contract is sought.

**Length and Time Phasing of Assistance:** Project grant duration period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fiscal Report, consisting of quarterly expenditures and budget experience reports; final financial reports setting forth costs and expenditures of the complete project; and Program Reports, consisting of quarterly program reports, and a final report. Other reports may be requested.

**Audits:** Full fiscal and program audits at close of grant and onsite inspections as needed throughout the grant.

**Records:** Records and accounts concerning the expenditure of Institute and grantee or contractor contributed funds shall be maintained during the grant and contract period and retained for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0401-0-1-754.

**Obligations:** (Grants) FY 81 $18,045,000; FY 82 est $16,767,000; and FY 83 est $17,500,000.

**Range and Average of Financial Assistance:** In amounts consistent with the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:** Project reports and program implementation manuals are available from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "First Annual Report of the National Institute of Law Enforcement and Criminal Justice Fiscal Year 1974." Price $1.45. "Second Annual Report of the National Institute of Law Enforcement and Criminal Justice Fiscal Year 1975." Price $1.90. "Annual Report Fiscal Year 1976." Price $1.90. "Annual Report Fiscal Year 1977." Price $1.90. "Criminal Justice Research, Annual Report." Price $1.90. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Institute of Justice, Department of Justice, Washington, DC 20531. Telephone: (202) 724-2942.

**RELATED PROGRAMS:** 16.542, National Institute for Juvenile Justice and Delinquency Prevention; 47.041, Engineering Grants.

**EXAMPLES OF FUNDED PROJECTS:** Major research efforts have been funded in the traditional areas of criminal justice: community crime prevention, correction, courts and police. Crime prevention-relationship between the physical environment and crime, white collar crime, organized crime and crimes of special concern to the community; corrections - studies of employment programs for inmates and ex-offenders, sentencing and rehabilitation programs; courts - prosecutorial discretion - how it effects disposition of cases and pretrial processes, court delay and plea bargaining; and police - police response to calls for service, police anti-corruption, management programs police referral systems, investigative practices, and use of deadly force. Priority will be given to research designed to prevent and control violent crime in fiscal year 1982 and fiscal year 1983.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals are evaluated according to the criteria specified in the program solicitation. With few exceptions, all proposals are reviewed competitively by a peer review panel consisting of Institute staff and outside experts in the field for technical quality and the general merits of the problems addressed. The Institute uses the peer review process to ensure fair and knowledgeable evaluation of preapplications and proposals. Program solicitations are announced in the Federal Register.

## 16.561 NATIONAL INSTITUTE OF JUSTICE VISITING FELLOWSHIPS

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF JUSTICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Justice System Improvement Act of 1979; Public Law 96-157, Part B.

**OBJECTIVES:** To provide opportunities for experienced criminal justice professionals to pursue promising new ideas for improved understanding of crime, delinquency and criminal justice administration by sponsoring research projects of their own creation and design.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The funds may be used to conduct research on crime causation, crime measurements, crime prevention, law enforcement, criminal justice administration, and the effectiveness and efficiency of anti-crime programs. Juvenile delinquency research projects are also eligible under this program. Fellows conduct their studies based at the National Institute of Justice.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Fellowship grants are awarded to individuals, not agencies or organizations. Experienced, highly qualified professionals working in the criminal justice field, including university or college-based academic researchers, are eligible. Native Americans and applicants from the Territories of the United States are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must furnish a resume, a 15-20 page project description which includes the project's scope, a discussion of the state-of-the-art, methodology, estimated costs, project period, and the impact of the study on the justice system. Costs will be determined in accordance with the Program Guideline.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Potential applicants are encouraged to contact the Institute for additional information about eligibility requirements, the research priorities of the Institute, and application and selection procedures.

**Application Procedure:** Applicants should submit a resume and a 15 to 20 page preliminary proposal to the Institute. This preliminary proposal will be competitively reviewed by the Institute staff and consultant experts. Letters of recommendation from three persons familiar with the applicant's professional experience should also be submitted.

**Award Procedure:** Based on the recommendations of the Institute staff, outside reviewers, and the Institute Director, grants are awarded.

**Deadlines:** The deadline for the fiscal year 1983 program is November 15, 1982, for the submission of preliminary proposals to the Institute. The deadline date for the fiscal year 1984 program is expected to be November 15, 1983.

**Range of Approval/Disapproval Time:** 90 days for full proposals.

**Appeals:** Hearing by the Institute Director.

**Renewals:** Fellowships are renewable up to a total period of 2 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Institute shall require, whenever feasible, as a condition of approval of a grant that the recipient contribute money, facilities or services to carry out the purpose for which the grant is sought.

**Length and Time Phasing of Assistance:** Project grant duration period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fiscal report consisting of quarterly expenditures and budget experience reports; final financial report setting forth costs and expenditures of the complete project; program reports consisting of quarterly progress reports, and a final report. Other reports may be requested.

**Audits:** Full fiscal and program audits at close of grant and onsite inspections are conducted as needed throughout the grant.

**Records:** Records and accounts concerning the expenditure of Institute and grantee contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0401-0-1-754.

**Obligations:** (Grants) FY 81 $150,000; FY 82 est $150,000; and FY 83 est $160,000.

**Range and Average of Financial Assistance:** In amounts consistent with the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:** Project reports are available.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Visiting Fellowship Program Announcement," no charge, available from Institute; "Visiting Fellowship Program Guideline," no charge; available from Institute.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** National Institute of Justice, Department of Justice, Washington, DC 20531. Telephone: (202) 724-7636.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** (1) Study of Parole Decision Making; (2) Study of Interpreting Services in Criminal Courts; (3) Study of Relationships Between Crime and Unemployment; (4) Research on the Concept of Political Crime; (5) Study of Parole Revocation Practices.

**CRITERIA FOR SELECTING PROPOSALS:** All proposals will be reviewed by a peer review panel. Their selection will be based on: the applicant's experience, the significance and conceptualization of the project topic, the quality and feasibility of the research design, and the potential impact of the project on the criminal justice system.

## 16.562 CRIMINAL JUSTICE RESEARCH AND DEVELOPMENT—GRADUATE RESEARCH FELLOWSHIPS

### (Graduate Research Fellowship Program)

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF JUSTICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Justice System Improvement Act of 1979, Section 601; Public Law 96-157; U.S.C. 3071.

**OBJECTIVES:** To improve the quality and quantity of knowledge about crime and the criminal justice system, while, at the same time, helping to increase the number of persons who are qualified to teach in collegiate criminal justice programs and to conduct research related to criminal justice issues.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Eligible students are doctoral candidates engaged in dissertation research and writing on a problem related to the fields of criminology and criminal justice. This competitive program provides fellowship stipends, major project costs, and certain university fees.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited institution of higher education offering a doctoral degree program.

**Beneficiary Eligibility:** The student must be engaged in writing a doctoral dissertation directly relevant to crime, law enforcement and/or criminal justice.

**Credentials/Documentation:** Eligible graduate students interested in competing for a fellowship must submit a brief (approximately 10 double-spaced typewritten pages) concept paper describing the proposed research and methodology. Applicants must have completed all degree requirements except the research writing, and defense of the dissertation or an internship prior to the awarding of the grant.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Detailed information may be obtained from the National Criminal Justice Reference Service, Announcement-GRF, Box 6000, Rockville, MD 20850.

**Award Procedure:** Following a series of reviews of the concept papers, NIJ will invite a limited number of institutions to apply for fellowships in behalf of their students. Funding of fellows is dependent upon approval of application by the Director of NIJ.

**Deadlines:** Two cycles per year usual deadlines November 1 and March 1.

**Range of Approval/Disapproval Time:** Approximately 180 days. This includes review of concept papers and formal applications.

**Appeals:** Hearings held by the National Institute of Justice.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Cycle 1 usually closes November 1 and funding of approved projects usually available in May. Cycle 2 usually closes March 1 and funding of approved projects is usually available in September.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Financial status and project reports required quarterly. Three copies of the dissertation required upon completion.

**Audits:** Audits and onsite inspections as needed.

**Records:** All project records shall be retained for 3 years.

FINANCIAL INFORMATION:

**Account Identification:** 15-0401-0-1-754.

**Obligations:** (Grants) FY 81 $200,000; FY 82 est $150,000; and FY 83 est $130,000.

**Range and Average of Financial Assistance:** Stipend is $5,000 for 12 month fellowship. Dependency allowance maximum is $1,600 (spouse plus three dependents). Total maximum of $11,000 may include tution and fee costs, project costs, supplies, travel and per diem costs, related to the research.

PROGRAM ACCOMPLISHMENTS: Over 200 fellowships to date.

REGULATIONS, GUIDELINES, AND LITERATURE: For information, contact National Institute of Justice. Program announcement available by sending a self-addressed mailing label to: National Criminal Justice Reference Service, Announcement-GRF, Box 6000, Rockville, MD 20850.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** National Institute of Justice, Washington, DC 20531. Telephone: (202) 724-2965.

RELATED PROGRAMS: 84.032, Higher Education Act Insured Loans; 84.038, National Defense/Direct Student Loans.

EXAMPLES OF FUNDED PROJECTS: Female Delinquency in Birth Control. The Relationship Between Employment and Youth Crime; The Judicial Career; The New Inmate Culture; Race Relations in a Maximum Security Prison; Perceived Crime Seriousness and Victims Reporting of Crime; The Neighborhood Context of Criminal Victimization; An Empirical Study of Delinquency in American Chinatowns; California's Occupational Carcinogen's Control Act; The Sanctuary of Drug Law Offenders.

CRITERIA FOR SELECTING PROPOSALS: Grasps of issues and the relationship of issues to significant issues confronting criminal justice in the United States, description of design and methodology, the potential utility of results, and qualifications of applicant to produce acceptable doctoral dissertation (based upon concept paper, university endorsement, and researcher's background statement).

## 16.570 CIVIL RIGHTS COMPLIANCE ACTIVITIES

**FEDERAL AGENCY:** OFFICE OF JUSTICE ASSISTANCE, RESEARCH AND STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Justice System Improvement Act of 1979, Sections 802(a), 815(c), and 817(d); 42 U.S.C. Section 3701, et—seq., as amended; Public Law 90-351 as amended by Public Law 93-83; Public Law 93-415, Public Law 94-503, and Public Law 96-157, December 27, 1979; Justice System Improvement Act (JSIA) and Section 262 of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended; 42 U.S.C. 5672 Public Law 93-415, as amended by Public Law 95-115, and Public Law 96-509, December 8, 1980.

**OBJECTIVES:** To enforce the provisions of Section 815(c) of the Justice System Improvement Act of 1979, Public Law 96-157 and Section 262 of the Juvenile Justice and Delinquency Prevention Act of 1974, Public Law 96-509, to the end that no person in any State shall on the basis of race, color, national origin, sex or religion be excluded from participation in, be denied benefits of, subject to discrimination under, or be denied employment in connection with any program or activity funded in whole or in part with funds made available under either Act. The agency also enforces Section 504 of the Rehabilitation Act of 1973, as amended and the Age Discrimination Act of 1975.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Investigation of Complaints (Compliance Reviews).

**USES AND USE RESTRICTIONS:** The Office of Justice Assistance, Research and Statistics is responsible for ensuring that recipients of funds provided under the Justice System Improvement Act of 1979 are in compliance with civil rights laws and regulations. Any person who believes that he or she has been discriminated against in the provision of these services because of race, color, national origin, sex, religion, or handicap, or denied employment in any program financially assisted with funds provided under the Act, may file a complaint of grievance with the Office of Civil Rights Compliance, Office of Justice Assistance, Research and Statistics, Department of Justice.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All persons.

**Beneficiary Eligibility:** All persons.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the headquarters office listed below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-0400-0-1-754.

**Obligations:** (Service) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the Office of Civil Rights Compliance was detailed several persons to assist in the resolution of pending complaints. As a result, during fiscal 1981 there were 192 complaints investigated and closed. The Intake and Control Unit received, analyzed, and processed over 200 allegations, of these 66 were docketed as complaints and referred to the Operations Division for investigation while the balance were closed and/or referred to other Federal, State, or local agencies for lack of jurisdictional coverage by this Office. The Compliance Review Division conducted 15 pre-award reviews by desk audits, one on site post award review and 61 EEOP desk audit reviews. As a result of these and previous reviews, OJARS entered into voluntary compliance agreements with the following criminal justice agencies: Cincinnati Department of Safety, Shawnee County, Kansas, Sheriff's Department, Delaware Family Court, Nebraska Highway Patrol, Arizona Department of Public Safety, and the Massachusetts Parole Board. A Compliance Agreement resulted from a finding of Federal Court concerning the Los Angeles County Sheriff. Resolution of a complaint resulted in an agreement with the Escambia County, Florida Sheriff.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 28 CFR 42 Nondiscrimination in Federally-Assisted Crime Control and Juvenile Delinquency Programs and discrimination based on handicap in federally-assisted programs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Office of Civil Rights Compliance, Office of Justice Assistance, Research and Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 724-5961.

**RELATED PROGRAMS:** 16.101, Equal Employment Opportunity; 16.200, Community Relations Service; 17.102, Veterans Reemployment Rights; 17.301, Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Minimum Wage and Hour Standards; 17.700, Women's Special Employment Assistance; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices; 30.002, Employment Discrimination—State and Local Anti-Discrimination Agency Contracts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 16.571 PUBLIC SAFETY OFFICERS' BENEFITS PROGRAM

**FEDERAL AGENCY:** OFFICE OF JUSTICE ASSISTANCE, RESEARCH AND STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Justice System Improvement Act of 1979, Section 1201; 42 U.S.C. 3797.

**OBJECTIVES:** To provide a $50,000 death benefit to the eligible survivors of State and local public safety officers whose death is the direct and proximate result of a personal injury sustained in the line of duty on or after September 29, 1976.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** There are no restrictions as to how the monies are spent once they reach the recipient with the exception that monies paid to minor children must be used for their care and benefit.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants must be an eligible survivor of a State or local public safety officer whose death is the direct and proximate result of a personal injury sustained in the line of duty on or after September 29, 1976. Public safety officers include law enforcement officers and fire fighters both paid and volunteer. Law enforcement officers include, but are not limited to, police, corrections, probation, parole and judicial officers. Eligible survivors of Public Safety Officers in the District of Columbia, Puerto Rico, Guam, Virgin Islands, American Samoa. The Pacific Trust Territories and the Northern Mariana Islands are also entitled to benefits under the Act.

**Beneficiary Eligibility:** The spouse and children of the public safety officer are eligible survivors. The dependent parents of the public safety officer become eligible if the Public Safety Officer is not survived by a spouse or children. Children include any natural, illegitimate, adopted or posthumous child, or stepchild who is 18 years old or younger. Children over 18 may be eligible if they are full-time students or incapable of self support.

**Credentials/Documentation:** "Claim for Death Benefits" (OJARS/LEAA Form 3650/1), "Report of Public Safety Officers' Death" (OJARS/LEAA Form 3650/2) and supporting family, medical and investigative documentation.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Employing agencies and/or claimants should initiate a claim by writing to or telephoning the Public Safety Officers' Benefits Program, Office of Justice Assistance, Research and Statistics, Washington, DC 20531. Telephone: (202) 724-7620. Upon receiving such notification, program staff will provide claim forms and advise employing agency and claimant as to claim documentation requirements.

**Application Procedure:** Submit "Claim for Death Benefits" (OJARS/LEAA Form 3650/1) and "Report of Public Safety Officers' Death" (OJARS/LEAA Form 3650/2) and supporting documentation to the Public Safety Officers' Benefits Program, Office of Justice Assistance, Research and Statistics, Washington, DC 20531.

**Award Procedure:** Upon finding of eligibility by the Office of Justice Assistance, Research and Statistics, eligible survivors are awarded a lump sum benefit; $50,000 to spouse if no children. If there are children, $25,000 to spouse with remaining $25,000 equally divided between eligible children. If no spouse or children, $50,000 equally divided between dependent parents.

**Deadlines:** Claim must be filed within 1 year of public safety officers' death.

**Range of Approval/Disapproval Time:** From 2 to 6 weeks.

**Appeals:** A claimant may, within 30 days after notification of ineligibility, request an oral appeal hearing. When making this request, the claimant may waive the oral appeal hearing and within 60 days, present written evidence for reconsideration by the Administration. A claimant may initiate an appeal by writing the Director, Public Safety Officers' Benefit Program, Office of Justice Assistance Research and Statistics, Washington, DC 20531.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

FINANCIAL INFORMATION:

**Account Identification:** 15-0400-0-1-754.

**Obligations:** (Direct payments) FY 81 $13,500,000; FY 82 est $12,500,000; and FY 83 est $12,500,000

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: During fiscal year 1979, 258 claims were determined to be eligible and 110 were determined to be ineligible. By the end of fiscal year 1980, 231 claims were approved and 76 claims were denied. In fiscal year 1981, 270 claims were approved and 71 were denied.

REGULATIONS, GUIDELINES, AND LITERATURE: Title 28, Code of Federal Regulations, Part 32.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** William F. Powers, Director, Richard J. Condon or Kathy Greene, Public Safety Officers' Benefits Program, Office of Justice Assistance Research and Statistics, Washington, DC 20531. Telephone: (202) 724-7620.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 16.601 CORRECTIONS—TRAINING AND STAFF DEVELOPMENT

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF CORRECTIONS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Juvenile Justice and Delinquency Prevention Act of 1974, September 7, 1974; Public Law 93-415, 18 U.S.C. 4351-4353.

**OBJECTIVES:** To devise and conduct in various geographical locations, seminars, workshops, and training programs for law enforcement officers, judges and judicial personnel, probation and parole personnel, correctional personnel, welfare workers and other personnel, including lay ex-offenders and paraprofessionals, connected with the treatment and rehabilitation of criminal and juvenile offenders. To develop technical training teams to aid in the development of seminars, workshops, and training programs within the several States and with the State and local agencies which work with prisoners, parolees, probationers, and other offenders.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Provision of Specialized Services; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Provides assistance for upgrading the operation of correctional programs at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, general units of local government, as well as public and private agencies, educational institutions, organizations, and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** OMB Circular No. A-87 cost principles applicable to grants and contracts with State and local governments; FMC 73-8 cost principles for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** When applying for grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and FMC 73-7 (as applicable) must be used for this program. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969.

**Application Procedure:** For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance.

**Award Procedure:** A brief concept paper describing the proposed project is first submitted to NIC. Authors of concept papers receiving favorable review are invited to submit formal applications. When it is determined that the project will be funded, a letter and award package are sent to the grantee. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines for concept papers are given by project in agency's Program Solicitations document.

**Range of Approval/Disapproval Time:** Approximately 90 days.

**Appeals:** Appeals may be made to the Director of NIC.

**Renewals:** Continuation grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Funds advanced as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial and progress reports, quarterly and final evaluation reports.

**Audits:** Full fiscal and program audits at close of grant and on-site inspections as needed throughout the grant.

**Records:** Grantee must keep complete records on disposition of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1004-0-1-754.

**Obligations:** (Grants and contracts) FY 81 $3,580,000; FY 82 est $3,835,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $1,500 to $300,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, training projects comprised 43 percent of all grant activity; NIC also presented a number of special-issue training seminars for correctional practitioners. Approximately 3,700 individuals were trained during the fiscal year. NIC also continued the adminstration of correspondence training courses for persons working in jails.

**REGULATIONS, GUIDELINES, AND LITERATURE:** National Institute of Corrections 1982 Program Solicitations. National Institute of Corrections: Financial Management Guidelines for Grantees. National Institute of Corrections Guideline Manual; Instructions for Applying for Federal Assistance.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For jail-related information, contact W. R. Nelson, Coordinator, NIC Jail Center, 1730 30th St., Boulder, CO, 80301. FTS: 8-320-6700. Telephone: (303) 497-6700. NOTE: All concept papers and applications are to be sent to the NIC Washington office.

**Headquarters Office:** National Institute of Corrections, 320 First Street N.W., Room 200, Washington, DC 20534. Telephone: (202) 724-3106.

**RELATED PROGRAMS:** 16.602, Corrections—Research and Evaluation and Policy Formulation; 16.603, Corrections—Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** (1) Training for correctional agency trainers; (2) strategic management training for high-level correctional administrators; (3) management training for managers of community residential centers; (4) seminars on fire safety in correctional institutions; and (5) management training for jail administrators and sheriffs.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Relatedness of proposed project to agency's mission, mandates, and program focuses; (2) quality and feasibility of project goals and objectives, design, implementation plan, and evaluation component when applicable; (3) past experience, qualifications, and capability of applicant to perform the proposed project; and (4) appropriateness of cost to perform proposed tasks.

## 16.602 CORRECTIONS—RESEARCH AND EVALUATION AND POLICY FORMULATION

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF CORRECTIONS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Juvenile Justice and Delinquency Prevention Act of 1974, September 7, 1974; Public Law 93-415, 18 U.S.C. 4351-4353.

**OBJECTIVES:** To conduct, encourage, and coordinate research relating to corrections including the causes, prevention, diagnosis, and treatment of criminal offenders. To conduct evaluation programs which study the effectiveness of new approaches, techniques, systems, programs, and devices employed to improve the corrections system.

**TYPES OF ASSISTANCE:** Project Grants; Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides assistance for upgrading correctional programs, services, and techniques at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, general units of local government, public and private agencies, educational institutions, organizations and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** OMB Circular No. A-87 cost principles applicable to grants with State and local governments; FMC 73-8 cost principles for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** When applying for grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and FMC 73-7 (as applicable) must be used for this program. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969.

**Application Procedure:** For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance.

**Award Procedure:** A brief concept paper describing the proposed project is first submitted to NIC. Authors of concept papers receiving favorable review are invited to submit formal applications. When it is determined that the project will be funded, a letter and award package are sent to the grantee. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines for concept papers are given by project in agency's Program Solicitations document.

**Range of Approval/Disapproval Time:** Approximately 90 days.

**Appeals:** Appeals may be made to the Director of NIC.

**Renewals:** Continuation grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Funds advanced as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly financial and progress reports, quarterly and final evaluation reports.

**Audits:** Full fiscal and program audits at close of grant and on-site inspections as needed throughout the grant.

**Records:** Grantee must keep complete records on disposition of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1004-0-1-754.

**Obligations:** (Grants) FY 81 $2,413,000; FY 82 $1,200,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $1,500 to $200,000; $75,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1980 funds were largely directed to the design and implementation of screening systems at the State and local levels; research/evaluation projects in probation and parole; and evaluation of parole decision-making guidelines, jail services and programs, and staff training programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** National Institute of Corrections 1982 Program Solicitations. National Institute of Corrections: Financial Management Guidelines for Grantees. National Institute of Corrections Guideline Manual: Instructions for Applying for Federal Assistance.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For jail-related information, contact W. R. Nelson, Coordinator, NIC Jail Center, 1790 30th St., Boulder, CO, 80301. FTS: 8-320-6700. Telephone: (303) 497-6700. NOTE: All concept papers and applications are to be sent to the NIC Washington office.

**Headquarters Office:** Larry Solomon, Chief, Community Services Division, National Institute of Corrections, 320 First St. N.W., Rm. 200, Washington, DC 20534. Telephone: (202) 724-3106.

**RELATED PROGRAMS:** 16.601, Corrections—Training and Staff Development; 16.603, Corrections—Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Awards have been made: (1) to research and develop an information base on classification systems and methods being used in correction; (2) to correctional agencies to support the temporary employment of graduate-student research interns; (3) to study the needs of small and mid-size probation agencies; and (4) probation and parole agencies to evaluate planned or operational programs and approaches.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Relatedness of proposed project to agency's mission, mandates, and program focuses; (2) quality and feasibility of project goals and objectives, design, implementation plan, and evaluation component when applicable; (3) past experience, qualifications, and capability of applicant to perform the proposed project; and (4) appropriateness of cost to perform proposed tasks.

## 16.603 CORRECTIONS—TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF CORRECTIONS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:** Juvenile Justice and Delinquency Prevention Act of 1974, September 7, 1974; Public Law 93-415, 18 U.S.C. 4351-4353.

**OBJECTIVES:** To encourage and assist Federal, State, and local government programs and services, and programs and services of other public and private agencies, institutions, and organizations in their efforts to develop and implement improved corrections programs. To assist and serve in a consulting capacity to Federal, State, and local courts, departments, and agencies in the development, maintenance, and coordination of programs, facilities, services, training, treatment, and rehabilitation with respect to criminal and juvenile offenders.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides assistance for upgrading the operation of correctional facilities, programs, and services at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, general units of local government, public and private agencies, educational institutions, organizations, and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** OMB Circular No. A-87 cost principles applicable to grants and contracts with State and local governments; FMC 73-8 cost principles for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** When applying for grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and FMC 73-7 (as applicable) must be used for this program. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969.

**Application Procedure:** For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance.

**Award Procedure:** A brief concept paper describing the proposed project is first submitted to NIC. Authors of concept papers receiving favorable review are invited to submit formal applications. When it is determined that the project will be funded, a letter and award package are sent to the grantee. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines for concept papers are given by project in agency's Program Solicitations document. Agency requests for technical assistance are accepted throughout the year.

**Range of Approval/Disapproval Time:** Approximately 90 days.

**Appeals:** Appeals may be made to the Director of NIC.

**Renewals:** Continuation grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Funds advanced as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly and quarterly financial and progress reports, quarterly and final evaluation reports.

**Audits:** Full fiscal and program audits at close of grant and on-site inspections as needed throughout the grant.

**Records:** Grantee must keep complete records on disposition of funds.

**FINANCIAL INFORMATION:**

**Account Identification:** 15-1004-0-1-754.

**Obligations:** (Grants and contracts) FY 81 $2,180,000; FY 82 est $4,185,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $1,500 to $50,000; $7,500.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, technical assistance was provided in response to 600 requests from State and local correctional agencies in 50 States; the District of Columbia; Puerto Rico; and the Virgin Islands. NIC grant funds are available also to enable correctional agencies to engage technical assistance directly.

**REGULATIONS, GUIDELINES, AND LITERATURE:** National Institute of Corrections 1982 Program Solicitations. National Institute of Corrections: Financial Management Guidelines for Grantees. National Institute of Corrections Guideline Manual: Instructions for Applying for Federal Assistance.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For jail-related information, contact W. R. Nelson, Coordinator, NIC Jail Center, 1790 30th St., Boulder, CO, 80301. FTS: 8-320-600. Telephone: (303) 497-6700. NOTE: All concept papers and applications are to be sent to the NIC Washington office.

**Headquarters Office:** Nancy Mason, Administrative Assistant, National Institute of Corrections, 320 First St. N.W., Rm. 200, Washington, DC 20534. Telephone: (202) 724-3106.

**RELATED PROGRAMS:** 16.601, Corrections—Training and Staff Development; 16.602, Corrections—Research and Evaluation and Policy Formulation.

**EXAMPLES OF FUNDED PROJECTS:** (1) Grants to jails to improve jail operations, programs and services; (2) grants to correctional agencies to evaluate offender classification systems; (3) grants to correctional agencies to incorporate labor-management training in the their staff development activities; and (4) contracts to individuals to provide specialized assistance to correctional agencies.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Relatedness of proposed project to agency's mission, mandates, and program focuses; (2) quality and feasibility of project goals and objectives, design, implementation plan and evaluation component when applicable; (3) past experience, qualifications, and capability of applicant to perform the proposed project; and (4) appropriateness of cost to perform proposed tasks.

# DEPARTMENT OF LABOR

## BUREAU OF LABOR STATISTICS

### 17.002 LABOR FORCE STATISTICS

**FEDERAL AGENCY:** BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:** Act of March 2, 1895; Public Laws 58-57, 62-426, 71-537, 82-203, 93-203, 93-567, 94-206, 94-311, and 94-369; 29 U.S.C. 2, 5, 882.

**OBJECTIVES:** To provide statistical data for analysis of labor force activities and for Federal funds allocation.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provide data for: (a) employment and unemployment analysis on the current economic status of workers, based on data from households as well as employment, hours earnings, and labor turnover statistics collected from industrial establishments; (b) labor force studies, yielding information on such characteristics as educational attainment, work experience, earnings and family relationships; (c) occupational employment statistics, available for a wide variety of occupations, including employment outlook, nature of the work expected, earnings, working conditions and qualifications; (d) national industry/occupational matrices, current and projected; (e) State and local area labor force employment and unemployment data used to identify areas of high unemployment and for allocations of funds under various Federal assistance programs including CETA; and (f) long-term projections of the labor force and employment levels for the Nation. (Programs 17.002 through 17.006 provide information only, no grants are available.)

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Request for information may be made by the general public.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Request for information and technical assistance may be made to the nearest regional offices of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0200-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $37,146,000; FY 82 est $38,602,000; and FY 83 est $39,967,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 activities: Labor force survey - 60,000 households in monthly sample; employment, hours, earning, and labor turnover - 181,830 establishments reporting monthly; occupational employment statistics - 200,000 establishments reporting during the year; State and local statistics - monthly publications for approximately 6,300 areas; 275,000 inquiries were answered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Employment and Earnings"; "Occupational Outlook Handbook"; "Occupational Outlook Quarterly;" "Monthly Labor Review;" "Occupational Employment"; "BLS Handbook of Methods"; "Major Programs 1979 Bureau of Labor Statistics"; "Publications of the Bureau of Labor Statistics"; "CETA Area Employment and Unemployment"; "State and County Employment and Unemployment"; "Unemployment Rates for State and Identifiable Local Governments"; Monthly Press Release: "The Employment Situation"; "State and Metropolitan Unemployment"; "Geographic Profile of Employment and Unemployment."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:** Bureau of Labor Statistics, Office of Employment Structure and Trends, Department of Labor, Washington, DC 20212. Contact: Thomas J. Plewes. Telephone: (202) 523-1180.

**RELATED PROGRAMS:** 11.001, Census Bureau Data Products; 11.005, Census Special Tabulations and Services; 17.005, Wages and Industrial Relations Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 17.003 PRICES AND COST OF LIVING DATA

**FEDERAL AGENCY:** BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:** Public Laws 62-426, 71-537, and 94-206; 29 U.S.C. 2.

**OBJECTIVES:** To provide statistical data for assisting in the evaluation of consumer, producer, export and import prices and price changes.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides for Consumer Price Indexes (CPI) which measure changes in prices of goods and services consumed by all urban households as well as urban wage earners and clerical workers. As the basis for most estimates of changes in the purchasing power of the dollar, the CPI is a major economic indicator and has widespread use in wage adjustments and collective bargaining. Provides for producer price index (PPI) which measure changes in price levels in pre-retail markets. Provides export and import price indexes to measure the effect of international trade prices on U.S. economy. Family budgets are developed for a city worker's family and a retired couple at three hypothetical levels of living. In addition, a Consumer Expenditure Survey provides information on changes in spending patterns, income, and assets.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Request for information may be made by the general public.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for information and assistance may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0200-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $36,983,000; FY 82 est $41,913,000; and FY 83 est $44,117,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, consumer price indexes were published for the U.S. city average and separately for 23 large metropolitan areas; producer price indexes were published for 98 industries and about 3,100 products and product groupings; price indexes were published for approximately 65 percent of exports and 65 percent of imports by value; and family budget estimates and inter-area cost indexes were published for an urban four-person family and for a retired couple at each of three levels of living, covering the urban U.S. average as well as 44 urban areas. There were 751,500 inquiries answered with respect to the data produced by these programs. Six reports were issued in the Consumer Expenditure Series.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Consumer Price Index; the Producer Price Index; the Export Price Index; the Import Price Index; Family Budgets, BLS Bulletin series 1570-1 to 6; 1972-1973 Consumer Expenditure Data, BLS Report Series 448, 455 and 570; the Monthly Labor Review; BLS Handbook of Methods; Major Programs 1979, Bureau of Labor Statistics; Publications of the Bureau of Labor Statistics.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:** Bureau of Labor Statistics, Office of Prices and Living Conditions, Washington, DC 20212. Telephone: (202) 272-5038. Contact: W. John Layng.

**RELATED PROGRAMS:** 10.950, Agriculture Statistical Reports; 11.025, Measures and Analyses of the U.S. Economy; 17.005, Wages and Industrial Relations Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.004 PRODUCTIVITY AND TECHNOLOGY DATA

**FEDERAL AGENCY:** BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:** Public Laws 62-426, 71-537, 76-77, and 94-206; 29 U.S.C. 2.

**OBJECTIVES:** To provide statistical data to assist in the evaluation of productivity and technology in the total U.S. economy, for specific industries, and abroad.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides for: (a) private economy and sector productivity studies presenting output per hour indexes for total private business economy and for economic sectors; (b) industry productivity measurements presenting output per employee-hour, output per employee, and unit labor requirement data for about 103 industries; (c) labor requirement studies presenting data on total primary and secondary employee-hours per unit or dollar volume of construction by occupation for on-site labor; (d) technological studies presenting data gauging the impact of technology on labor; international comparisons of changing productivity and costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Request for information may be made by the general public.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for information and assistance may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0200-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $3,608,000; FY 82 est $3,630,000; and FY 83 est $4,036,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, more than 300 reports, studies, and indexes were completed, and 21,000 inquiries were answered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Productivity Indexes for Selected Industries"; "Technological Trends in Major American Industries"; "An International Comparison of Unit Labor Cost in the Iron and Steel Industry"; "Construction Survey Studies of Hospitals, Highways, Multi-Family Houses, Single Family Houses and Public Houses"; "Productivity and Costs in Private Economy and Major Sectors"; "Productivity and the Economy"; "Productivity: An International Perspective"; "BLS Handbook of Methods"; "Major Programs 1980 Bureau of Labor Statistics"; "Publications of the Bureau of Labor Statistics."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:** Bureau of Labor Statistics, Office of Productivity and Technology, Washington, DC 20212. Telephone: (202) 523-9285. Contact: Hattie Paige.

**RELATED PROGRAMS:** 11.025, Measures and Analyses of the U.S. Economy; 17.006, Economic Growth Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.005 WAGES AND INDUSTRIAL RELATIONS DATA

**FEDERAL AGENCY:** BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:** Public Laws 62-426, 71-537, and 94-206; 29 U.S.C. 2.

**OBJECTIVES:** To provide data for evaluation of levels and changes in wages and compensation in selected industries and areas, and analysis of collective bargaining agreements. Also to provide data for use in Federal compensation level determination.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** This program provides for: (a) wage studies made for selected occupations in about 300 geographic areas and about 16 industries annually; (b) studies of the level of employee benefits such as various types of leave, holidays, insurance and retirement; (c) wage trend studies, summarizing wage changes in major industries; (d) industrial relations studies providing collective bargaining agreement analysis, information on work stoppages, and labor union directories.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Request for information may be made by the general public.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for information and assistance may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0200-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $14,276,000; FY 82 est $13,705,000; and FY 83 est $14,819,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 more than 400 major reports, studies, and indexes were completed and 135,000 inquiries were answered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Current Wage Developments"; "Directory of National Unions and Employee Associations"; "National Survey of Professional, Administrative, Technical, and Clerical Pay"; "Area Wage Surveys"; "Industry Wage Surveys"; "Union Wages and Hours"; "Union Wage Rates in Seven Major Building Trades"; "Municipal Government Wage Surveys"; "Employment Cost Index"; "Major Collective Bargaining Agreement Studies"; "Characteristics of Agreements Covering 1,000 Workers or More"; "Analysis of Work Stoppages."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:** Bureau of Labor Statistics, Office of Wages and Industrial Relations, Washington, DC 20212. Telephone: (202) 523-1382. Contact: George L. Stelluto.

**RELATED PROGRAMS:** 17.002, Labor Force Statistics; 17.003, Prices and Cost of Living Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.006 ECONOMIC GROWTH DATA

**FEDERAL AGENCY:** BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:** Public Laws 62-426, 71-537, and 94-206; 29 U.S.C. 2.

**OBJECTIVES:** To provide data for interpretation and analysis of current and long-run economic developments affecting employment as well as special studies.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides: (1) Medium to long-term projections of the size of the labor force; (2) projections, under alternative assumptions, of the rate and patterns of growth in the economy; (3) projected inter-industry sales and purchases tables based on anticipated changes in technology; (4) projected demand for labor on a 156 industry breakdown of the economy based on projections of the final demand components and total output of these industries under alternative assumptions with the capability to vary assumptions to determine the effect of these assumptions on the employment distribution; (5) projections of employment by occupation; (6) specialized research on economic conditions affecting employment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Request for information may be made by the general public.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Request for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0200-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $2,981,000; FY 82 est $2,529,000; and FY 83 est $2,758,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 13 publications and research papers on projects were completed; 20,000 inquiries were answered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "New Economic Projections through 1990, an Overview," "The U.S. Economy through 1990 - An Update," "The Outlook for Industry Output and Employment Through 1990," and Occupational Employment Growth Through 1990." These appear in the August 1981 issue of the Monthly Labor Review which can be purchased from the Government Printing Office or a BLS Regional Office. "The 1995 Labor Force; a First Look," Monthly Labor Review, December, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:** Bureau of Labor Statistics, Office of Economic Growth and Employment Projections, Washington, DC 20212. Telephone: (202) 272-5381. Contact: Ronald Kutscher.

**RELATED PROGRAMS:** 11.025, Measures and Analyses of the U.S. Economy; 17.002, Labor Force Statistics; 17.004, Productivity and Technology Data.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# LABOR-MANAGEMENT SERVICES ADMINISTRATION

## 17.100 LABOR-MANAGEMENT RELATIONS SERVICES

**FEDERAL AGENCY:** LABOR—MANAGEMENT SERVICES ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Department of Labor Act of June 13, 1888, 25 Stat. 182; Department of Labor Act of March 4, 1913, 37 Stat. 736; Reorganization Plan No. 6, 1950, 69 Stat. 1263; Urban Mass Transportation Act of 1964, Public Law 88-365, 78 Stat. 302; Rail Passenger Service Act of 1970, Public Law 91-518, 84 Stat. 1327; Federal - Aid Highway Act of 1973, Public Law 93-87, 87 Stat. 250; National Mass Transportation Assistance Act of 1974, Public Law 93-503, 88 Stat. 1565; Surface Transportation Assistance Act of 1978, Public Law 95-599; Redwood Park Expansion Act of 1978, Public Law 95-250, 92 Stat. 163.

**OBJECTIVES:** To provide information and assistance to industry, organized labor, State and local governments, and other public and private groups in developing sound labor-management relations and to aid these groups in resolving labor-management problems. Protects the interests of employees affected by projects authorized under the Urban Mass Transportation Act, the Rail Passenger Service Act; Federal - Aid Highway Act; the Redwood Park Expansion Act; and other statutes cited under Authorization section of the program.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Providing consultation service; aiding parties to resolve problems which will improve labor-management relations; conducting studies and analyses of specific labor-management problems; and issuing guidelines and materials relating to the protection of employment conditions of employees affected by Federal grant programs for mass transportation, Redwood Park Expansion Act, and other statutes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Assistance is available to industry, organized labor, State and local governments, and all groups and individuals in the public and private sector. Eligibility for specific employee protection benefits is governed by the terms of each statute identified above. General information inquiries can be directed to the contact listed in the Headquarter Office Section under Information Contacts who will direct the applicant to the nearest agency for the filing of applications. Under the Redwood protection program, eligibility determinations are made at local State employment security offices.

**Beneficiary Eligibility:** Industry, organized labor, State and local governments, and all groups and individuals in the public and private sector.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Oral or written communication with Headquarters Office shown under Information Contacts section of the program. Each employee protection program has its own procedure for filing for benefits which can be ascertained through the contact office identified below.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** See individual regulations under specific employee protections programs.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0104-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $2,008,700; FY 82 est $2,325,000; and FY 83 est $2,843,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Provided technical assistance to other Government agencies, labor, and management, in response to specific requests. Reviewed and certified over 1,000 applications made under the Urban Mass Transportation Act during fiscal year 1981. Conducted special training seminars for newly appointed Public Employee Relations Board members, for labor and management representatives, and for third party neutrals. Provided assistance to a number of State and local jurisdictions in drafting public employee regulations and in conducting representation elections. Prepared a number of publications including a quarterly "Calendar of Events."

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Railroad Shopcraft Factfinding Study" ($4.00); "Rural Transportation Employee Protection "Guidebook"; "Guidelines for Certifications Under Section 13(c), Urban Mass Transportation Act, 29 CFR Chapter II, Part 215"; Listings of State and local government publications, seminars, and training films available from Headquarters Office; Redwood Employee Protection Program regulations, 29 CFR Part 92.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Office of Labor-Management Relations Services, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20216. Telephone: (202) 523-6487. Contact: John R. Stepp. For the Redwood employee protection program, toll free number: 800-424-5233.

**RELATED PROGRAMS:** 34.001, Labor Mediation and Conciliation; 46.001, Labor-Management Relations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.101 LABOR ORGANIZATION REPORTS

### (Landrum—Griffin Act)

**FEDERAL AGENCY:** LABOR—MANAGEMENT SERVICES ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Labor-Management Reporting and Disclosure Act of 1959, Public Law 86-257 as amended by Public Law 89-216; 29 U.S.C. 401.

**OBJECTIVES:** To provide for the reporting and disclosure of financial transactions and administrative practices of labor organizations, employers, labor consultants and others required to report under the Landrum-Griffin Act; To provide standards for the election of union officers, trusteeships, fiduciary responsibilities of union officers, and rights of union members.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Provides union members the authority to bring civil action in the district courts of the United States to enforce the rights and protections granted them under the Bill of Rights of Members of Labor Organizations; enables union members and employees whose rights are affected by a collective bargaining contract, to obtain or examine a copy of the agreement; enables union members to secure information on the organization, administrative practices, and financial transactions of their unions and to prevent abuses in these areas and in the administration of trusteeships imposed upon labor organizations; assures union members free and democratic elections through enforcement of standards and procedures with respect to such elections, and the removal of officers; safeguards assets of labor organizations by imposing upon union officials fiduciary responsibility, enforceable in the courts, and by requiring the bonding of persons who handle union funds.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Officers of unions may obtain assistance in preparing reports or otherwise complying with the Act. Union members or subordinate union organizations may request assistance in investigating alleged violations. All reports required to be filed are available for disclosure to the general public.

**Beneficiary Eligibility:** Union Officers, union members, subordinate union organizations. All reports required to be filed are available for disclosure to the general public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Write or call the nearest Department of Labor, Labor-Management Services Administration regional or area office listed in Appendix IV of the Catalog.

**Award Procedure:** None.

**Deadlines:** Union member must file an election of officers complaint with the Department of Labor within 1 month after having exhausted internal union remedies or within 1 month after having invoked internal union remedies without obtaining a final decision within 3 months after invoking them.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0104-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $17,118,000; FY 82 est $17,940,000; and FY 83 est $22,432,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981, received and processed 88,151 reports, and conducted 7,785 investigations, field audits and supervised elections. For fiscal year 1982, approximately 65,000 reports will be processed, and approximatley 4,885 investigations, field audits, supervised elections and delinquency compliance cases will be conducted. For fiscal year 1983, approximately 70,000 reports will be processed, and approximately 7,957 investigations, field audits, supervised elections and delinquency compliance cases will be conducted.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 29 CFR 401-453. The Labor-Management Reporting and Disclosure Act of 1959, as amended; (Spanish edition also available), Rights and Responsibilities Under the LMRDA; Reports Required Under the LMRDA; Bonding Requirements under LMRDA; Trusteeship Requirements under the LMRDA, Electing Union Officers; (Spanish edition also available); Election of Officers of Labor Organizations, 29 CFR 452. The above literature is available free of charge in limited quantities from the Headquarters or Area office listed in Appendix IV of the Catalog. This literature and Register of Reporting Labor Organizations, $8.00, available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons desiring assistance should contact the nearest Department of Labor, Labor-Management Services Administration regional or area office listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Labor-Management Standards Enforcement, Department of Labor, 200 Constitution Ave, N.W., Washington, DC 20216. Public Disclosure Room: N5616. Telephone: (202) 523-7393. Contact: Richard Hunsucker. Telephone: (202) 523-7377.

**RELATED PROGRAMS:** 17.103, Pension and Welfare Benefit Programs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.102 VETERANS REEMPLOYMENT RIGHTS

**FEDERAL AGENCY:** LABOR-MANAGEMENT SERVICES ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Chapter 43 of Title 38, U.S.C.

**OBJECTIVES:** To ensure that those who leave their employment to be examined for military service, or who perform active duty or training duty in the Armed Forces, do not lose their jobs and other employment benefits because of such service.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** To assist veterans of the Armed Forces, reservists, National Guardmember rejectees, and examinees in securing reinstatement with their employers and the crediting of seniority and seniority related benefits to which the individual is entitled. To provide information and assistance to employers having the obligation to reemploy, and to labor organizations concerned with the reemployment process. (The Department of Labor provides mediation and conciliation aimed at voluntary resolution of reemployment problems. Unresolved complaints are referred to the Department of Justice.)

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Persons (including reservists and National Guardmembers) who have served on active duty, active duty for training, or training duty with the Armed Forces; or persons who have applied for enlistment or have been called for induction in the Armed Forces including Reserve Components) but were found not qualified. All claimants must conform to statutory eligibility requirements concerning intent and timeliness.

**Beneficiary Eligibility:** Persons (including reservists and National Guard members) who have served on active duty, active duty for training, or training duty with the Armed Forces; or persons who have applied for enlistment or have been called for induction in the Armed Forces including Reserve Components) but were found not qualified. All claimants must conform to statutory eligibility requirements concerning intent and timeliness.

**Credentials/Documentation:** Certificate of Satisfactory Service from Armed Forces or an order requiring the reporting to duty or for examination.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the nearest Department of Labor, Labor-Management Services Administration regional or area office listed in the Appendix IV of the Catalog.

**Award Procedure:** Not applicable.

**Deadlines:** No deadlines for application to Department of Labor for assistance. However, deadlines exist for application to employers in order to qualify for rights. (Contact the Federal Agency for deadline date.)

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** The statute authorizes court review; contact the nearest area office listed in Appendix IV of the Catalog for procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0104-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $2,439,000; FY 82 est $2,537,000; and FY 83 est $2,609,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Through its operations, program assisted 275,203 ex-service personnel and 79,182 employers, and processed 2,306 complaint cases in fiscal year 1981. It is estimated that we will assist 200,000 of ex-service personnel and 60,000 employers will be assisted and 1,174 complaint cases will be processed in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Facts About Job Rights for Veterans and Employers"; "Questions and Answers for National Guardmembers and Reservists"; "What Are You Doing Down There At The Bottom of the List, John Smith?"; "Veterans' Reemployment Rights Handbook"; "Field Letter No. 24"; "Now, About That Job"; "Trying To Enlist". (Each of the above documents is available free of charge in limited quantities from the headquarters office or field offices listed in Appendix IV). (Conceivably there may be a charge for the Handbook.)

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest Department of Labor, Labor-Management Services Administration regional or area office list in the Appendix IV of the Catalog.

**Headquarters Office:** Office of Veterans' Reemployment Rights, Department of Labor, 200 Constitution Ave., N.W. Washington, DC 20216. Telephone: (202) 523-8611. Contact: George O. Gonzalez.

**RELATED PROGRAMS:** 16.101, Equal Employment Opportunity; 27.002, Federal Employment Assistance for Veterans; 64.115, Veterans Information and Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.103 PENSION AND WELFARE BENEFIT PROGRAMS (PWBP)

**FEDERAL AGENCY:** LABOR-MANAGEMENT SERVICES ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Employee Retirement Income Security Act of 1974; (ERISA) Public Law 93-406; 29 U.S.C. 1001 note.

**OBJECTIVES:** To protect the interests of participants and beneficiaries in employee benefit plans by requiring reporting and disclosure of plan and financial information and establishing and enforcing fiduciary standards. The agency does not participate in any form of grant procurement. It does, however provide technical assistance in the form of information dissemination upon request. It also provides informational and advisory services to administrators, trustees, participants and benficiaries of employee benefit plans.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Enables participants and beneficiaries of employee welfare and pension plans to obtain information about plan provisions and financial operations as they relate to their interests in such plans; safeguards assets of plans through establishment of fiduciary standards and requiring bonding of plan personnel handling such assets; requires reports to the Department of Labor and the Internal Revenue Service on plan provisions and financial operations from plan administrators

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Plan administrators, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration may obtain assistance in complying with the Act. Interested persons may obtain disclosure of documents required to be filed by plan administrators with the Internal Revenue Service and the Department of Labor.

**Beneficiary Eligibility:** Plan administrators, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the nearest regional or area office of the Labor Management Services Administration listed in Appendix IV of the Catalog. (Participants and beneficiaries should first contact their plan administrator for plan information.)

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0104-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $32,187,000; FY 82 est $31,210,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In 1981, the Department of Labor established new priorities and directions to strengthen the enforcement of ERISA, initiated a program of prudent deregulation, and undertook major efforts to reduce paperwork requirements. In the area of enforcement, investigations were broadened to include referrals of criminal evidence to the Department of Justice as well as pursuing civil violations, and greater emphasis was placed on correcting fiduciary violations. The Department closed 2,509 investigative cases in 1981, of which 1,346 were found to contain violations of ERISA. The Department also completed the first joint effort with the Internal Revenue Service to monitor compliance with two significant class exemptions in three major cities. In regulatory activity, the Department issued 7 final and 2 proposed rules in 1981, five dealing with simplifying or reducing paperwork requirements. Regarding paperwork, a task force was established to thoroughly examine all ERISA reporting and disclosure requirements and to recommend how these may be reduced and simplified. Also during 1981, the process of exemption from ERISA's prohibited transactions provisions functioned smoothly, as the Department closed 687 applications in an average of 4 months. In other activity, the Department assisted in restoring $2.8 million in denied benefits to participants; distributed 350,000 copies of publications explaining various provisions of ERISA; completed 11 studies covering various pension-related topics; responded to 75,000 inquiries from the public; disclosed 93,000 reports to the public; and received 855,000 annual reports.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Employee Retirement Income Security Act of 1974 (ERISA)" available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Copies of final regulations, proposed regulations and other directives are available from the headquarters and field offices. Also available from these sources are a series of booklets for plan participants and administrators of plans. Certain audio-visual material is available for specialized audiences.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons desiring assistance should contact the nearest Department of Labor, Labor Management Services Administration regional or area office listed in Appendix IV of the Catalog.

**Headquarters Office:** Pension and Welfare Benefit Programs, Department of Labor, 200 Constitution Ave., N.W., Washington, DC 20216. Telephone: (202) 523-8921. Contact: William C. Russell.

**RELATED PROGRAMS:** 17.101, Labor Organization Reports.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.201 APPRENTICESHIP TRAINING

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** National Apprenticeship Act of 1937, as amended, Public Law 75-308, 50 Stat. 664, 29 U.S.C. 50, 50a, 50b; 57 Stat. 518.

**OBJECTIVES:** To stimulate and assist industry in the development, expansion, and improvement of apprenticeship and training programs designed to provide the skills required by the economy in those occupations commonly known as the skilled crafts or trades.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** The Bureau of Apprenticeship and Training (BAT) registers apprentices and apprenticeship training programs in 21 States and Guam. It also works closely with State Apprenticeship Councils (SACs) in the remaining 29 States, the District of Columbia, Puerto Rico, and the Virgin Islands, which register apprentices and programs in accordance with Federal standards. The wage rates of apprentices in registered programs (State and Federal) are exempt from the requirements of the Davis-Bacon Act and the Service Contract Act. BAT encourages the application of its training standards in apprenticeship agreements. It also brings employers and labor organizations together for the formulation of apprenticeship training programs which meet these standards and cooperates with the Department of Education on the related (theoretical) instruction aspects of apprenticeship training programs. Information is made available on existing and recommended standards of training in apprenticeship as well as on other types of industrial skill improvement programs. Special efforts are being made to increase the number of women and minority apprentices and to introduce apprenticeship training into new industries and occupations. The Federal Committee on Apprenticeship, representing employers, labor, vocational education, and others with an interest in skilled training, advises the Secretary of Labor on apprenticeship training issues.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Employers, or joint committees representing employers and employees under collective bargaining agreements.

**Beneficiary Eligibility:** Individuals applying for acceptance into an apprenticeship training program must be at least 16 years old and must satisfy the apprenticeship program sponsor that they have sufficient ability, aptitude, and education to master the rudiments of the trade and to satisfactorily complete the related theoretical instruction required in the program.

**Credentials/Documentation:** Along with the completed application form, each prospective apprentice may be required by the sponsor to submit a transcript of school subjects and grades, proof of age, honorable military discharge (if applicable) and high school diploma or equivalency certificate (if applicable). Also, references from all previous employers may be required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Prospective program sponsors must meet with a BAT or SAC field representative, as appropriate, to draw up a set of training program standards. These include the age and educational background of apprentices and a schedule of the work processes and related theoretical instruction subjects to be covered during the training program. The program will be registered if it meets Federal requirements covering (a) the apprenticeability of the occupation(s) and (b) the suitability of the training standards for providing apprentices with sufficient knowledge to become craftworkers.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** BAT refusal to register programs and BAT deregistration of existing programs may be appealed to the Secretary of Labor as provided in Title 29 CFR Part 29.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The program sponsor reports new registrations, suspensions, cancellations, and completions to the Bureau's field representative.

**Audits:** Not applicable.

**Records:** Apprenticeship selection records showing compliance with the nondiscrimination requirements set out in 29 CFR Part 30 are required to be kept for 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0172-0-1-504.

**Obligations:** (Salaries and expenses) FY 81 $14,497,000; FY 82 est $16,181,000; and FY 83 est $16,376,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were over 400,000 apprentices in training in more than 50,000 registered programs; approximately 136,000 new apprentices were registered, approximatley 6.4 percent of whom were females. It is estimated that 425,000 apprentices will be in training during fiscal year 1982 and fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Further information concerning the program may be found in 29 CFR 30; "Equal Employment Opportunity in Apprenticeship and Training"; "The National Apprenticeship Program"; "Apprenticeship Past and Present"; "Veterans - Train for a Skilled Trade through Apprenticeship"; "Apprenticeship Training - Sure Way to a Skilled Craft;" and "Apprenticeship and CETA."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the Bureau of Apprenticeship and Training Regional Director. See Catalog Appendix IV listings of The Employment and Training Administration regional offices.

**Headquarters Office:** Bureau of Apprenticeship and Training, Employment and Training Administration, Department of Labor, Washington, DC 20213. Telephone: (202) 376-6585. Contact: James P. Mitchell.

**RELATED PROGRAMS:** 17.207, Employment Service; 17.232, Comprehensive Employment and Training Programs; 17.303, Minimum Wage and Hour Standards.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.202 CERTIFICATION OF FOREIGN WORKERS FOR TEMPORARY AGRICULTURAL AND LOGGING EMPLOYMENT

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Immigration and Nationality Act of 1952 as amended, 66 Stat. 204. 8 U.S.C. 1101, et seq.

**OBJECTIVES:** To enable agricultural and logging employers to obtain temporary alien workers for specific seasonal jobs when domestic workers are not available, to protect domestic workers against unfair competition from foreign workers, and to assure adequate working and living conditions for domestic and foreign workers employed in similar tasks.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Employers who need workers for temporary agricultural and logging jobs may be certified to use foreign workers after the Secretary of Labor has determined that there are not sufficient domestic workers capable of performing the job duties and that the employment of aliens will not adversely affect the wages and working conditions of similarly employed domestic workers. Certifications will be made only after unsuccessful efforts to recruit domestic workers through the Federal-State employment service system. Certifications are sent to the employer in support of the petition to be filed with the Immigration and Naturalization Service which makes the final decision whether to grant or deny the admission of foreign workers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Organizations and individuals interested in importing foreign agricultural and logging workers.

**Beneficiary Eligibility:** Organizations and individuals.

**Credentials/Documentation:** The employer must submit a prescribed job order and documentation of his or her efforts to recruit domestic workers.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications are filed with the nearest local office of the State employment service. Requesting employer must cooperate with efforts to locate qualified domestic workers in order to be certified to use foreign workers.

**Award Procedure:** The requesting employer is notified by the Department of Labor in writing 20 days prior to the date of need.

**Deadlines:** Applications should be filed in sufficient time to allow for the 60 day recruitment period required by the regulations and 20 additional days before the date of need.

**Range of Approval/Disapproval Time:** 60 days.

**Appeals:** The procedure for appeals is explained in 20 CFR 655.204 for temporary certification.

**Renewals:** Treated as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Selected audits are conducted by the Department of Labor.

**Records:** Payroll records must be retained for not less than three years after completion of the contract work.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0179-0-1-504; 16-0172-0-1-504.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In calendar year 1981, 17,953 temporary (6 weeks to 11 months) foreign workers were certified for agricultural and logging employment.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Further information concerning the program may be found in 20 CFR 655 (temporary foreign workers). The following publication is available from the headquarters or regional offices: "Crops Requiring Seasonal Hired Workers by Agricultural Reporting Areas."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest local office of the State employment service or the appropriate Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Office of Technical Support, United States Employment Service, Employment and Training Administration, Department of Labor, 601 D St., N.W., Washington, DC 20213. Telephone: (202) 376-2277. Contact: Dick Shirley.

**RELATED PROGRAMS:** 17.203, Certification for Immigrant Workers; 17.207, Employment Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.203 CERTIFICATION FOR IMMIGRANT WORKERS

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Immigration and Nationality Act of 1952 as amended, 66 Stat. 204, 8 U.S.C. 1101 et seq.

**OBJECTIVES:** To assist employers by supplementing the work force with needed skills, to protect jobs of American workers and assure that the wages and working conditions of U.S. workers will not be adversely affected by the immigration of nonagricultural workers.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Under Section 212 (a) (14) of the Act, aliens who seek to immigrate to the United States for employment shall be excluded from admission unless the Secretary of Labor determines and certifies to the Secretary of State and to the Attorney General that there are not sufficient U.S. workers available for the employment and that the employment of such aliens will not adversely affect the wages and working conditions of U.S. workers similarly employed; and render advisory opinions to the Attorney General on applications for alien employment for temporary work under Section 101 (a) (15) H (II) of the Act.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (1) Any employer who is unable to find qualified workers to meet his or her needs is eligible to file an application for alien employment certification and (2) any alien whose category of employment is included in the Department of Labor, Schedule A list of precertified occupations contained in Part 656.10, Title 20, Code of Federal Regulations is eligible to file an application directly with the appropriate Immigration Service District Office or the Office of the United States Consul abroad.

**Beneficiary Eligibility:** Employers and aliens.

**Credentials/Documentation:** Aliens seeking labor certification under Schedule A must document their education and experience qualifications to the satisfaction of the Immigration Service or the United States Consul as appropriate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Employers contact the appropriate local office of the State employment security system, and aliens contact a U.S. Consul abroad or the Immigration and Naturalization Service in the United States.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 3 to 6 months.

**Appeals:** The procedure for review of denials for permanent alien workers is explained in Title 20, Code of Federal Regulations; Part 656.26 (C, D, E).

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0179-0-1-504; 16-0172-0-1-504.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Department of Labor processed 40,000 permanent and temporary applications in fiscal year 1981 and approximately the same number is estimated for fiscal year 1982 and fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** References in the Code of Federal Regulations: For permanent employment-Title 20, CFR Part 656; for temporary employment-Title 20, CFR Part 621.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the local office of the State employment service and Employment and Training Administration regional offices listed in Appendix IV.

**Headquarters Office:** Director, Office of Technical Support, United States Employment Service, Employment and Training Administration, Department of Labor, Washington, DC 20213. Telephone: (202) 376-6295. Contact: Aaron Bodin.

**RELATED PROGRAMS:** 17.202, Certification of Foreign Workers for Temporary Agricultural and Logging Employment; 17.207, Employment Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.207 EMPLOYMENT SERVICE

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** The Wagner-Peyser Act of 1933, Public Law 73-30, as amended, 29 U.S.C. 49-49n and 39 U.S.C. 338; The Social Security Act of 1935, Public Law 74-271, as amended; and provisions relating to Employment Security, 42 U.S.C. 1101 et seq.

**OBJECTIVES:** To place persons in employment by providing a variety of placement-related services to job seekers and to employers seeking qualified individuals to fill job openings.

**TYPES OF ASSISTANCE:** Formula Grants; Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** The United States Employment Service and its affiliated State agencies operate over 2,400 local offices to serve persons seeking or needing employment and employers seeking workers. Services to job seekers include outreach, interviewing, testing, counseling, and referral to employment opportunities. Also, employment service staff in the local offices refer job seekers in need of specialized training or supportive services to local, State or Federal offices that are able to provide such services. Services to employers include providing a source of qualified applicants for job openings within the local area or, if necessary, nationwide. The Employment Service system also provides specialized services such as: 1. Services to special applicant groups such as veterans, migrant and seasonal farmworkers, handicapped job seekers, disadvantaged job seekers, youth, minorities and older workers. This includes special emphasis counseling and assisting such workers to overcome barriers to employment which are unrelated to job performance. 2. The development and cataloging of State and local labor market information which allow job seekers and employers to obtain information pertaining to job opportunities, labor supply, labor market trends, the job market situation in particular industries. 3. Employment Services are provided to workers and businesses who have been certified as having been adversely affected by United States foreign trade policies. Such workers may receive specialized reemployment assistance and referral to training and supportive services from local employment service staff. (The certification process is described in program 17.400.) 4. The Employment Service provides certification of workers hired by employers as meeting the criteria of one of the nine groups of targeted applicants as set forth in the Revenue Act of 1978 (Targeted Jobs Tax Credit Program) and amended by the Economic Recovery Act of 1981. The Employment Service coordinates the vouchering activity to identity potentially eligible applicants (performed by local cooperating agencies or by its own staff acting for a cooperating agency) and is the sole source of employer certifications. 5. Through regulations and procedures established in an interagency agreement between the Department of Agriculture, Food and Nutrition Service and the Department of Labor, Employment and Training Administration, the Employment Service has the responsibility for providing employment related services to Food Stamp participants subject to the work registration requirements set forth in the Food Stamp Act. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State employment security agencies, including Virgin Islands, Puerto Rico, and Guam.

**Beneficiary Eligibility:** All employers seeking workers, persons seeking employment, and associated groups. Priority in service is given to veterans, with handicapped veterans receiving preferential treatment over other veterans.

**Credentials/Documentation:** Some employment services require certain credentials, such as licenses for placement in some positions, but ordinarily no documentation or credentials are required to receive services. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State Employment Services are provided with a national program emphasis statement which outlines in general terms areas of services to be provided in the budget year.

**Application Procedure:** Each State Employment Service agency prepares a Program Budget Plan (PBP). The PBP must provide information of the numbers and types of services to be provided to job seekers and employers.

**Award Procedure:** Review of State PBP occurs at Employment and Training Administration regional offices. Final award and planned service levels are provided the grantee agencies before October 1. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Established each year. Initial PBP usually due in July; final PBP in October.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** No formal procedure.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** U.S. Employment Service utilizes an administratively developed allocation system to determine State entitlements, based on needs for service and previous performance. However, no formula allocation was used in FY 1982 because of a reduction in funding levels from FY 1981. The reduction was applied across the board to each state. Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Length, funded annually. Financing is accomplished through Letter of Credit drawdowns needed to meet immediate cash requirement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The bulk of non-financial activity is reported quarterly; financial reports are required monthly.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of thet Circular. Audits are conducted by the Associate Assistant Secretary for Administration and Management (Program Review and Audit), other authorized Government agencies, or independent public accountants selected by DOL.

**Records:** Standard records for audits are required.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0179-0-1-504; 16-0174-0-1-504 (CETA LMI).

**Obligations:** (Grants under 16-0179-0-1-504 only) FY 81 $802,400,000; FY 82 est $735,623,000; and FY 83 est $740,800,000.

**Range and Average of Financial Assistance:** For fiscal year 1980: $1,259,000 to $60,724,000.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1980, 16.6 million persons filed or renewed their applications and 4.0 million were placed in jobs. Of those placed in jobs, 1.2 million were economically disadvantaged, 584,000 were veterans and 623,000 were UI claimants. Also 1.1 million individuals were counseled and 827,000 were tested.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following are available from State Employment Security Agencies; "The Employment Service"; "Veterans Try the Employment Service"; "Manpower Programs in Rural Areas"; "Area Trends in Employment and Unemployment"; State and Labor Area Newsletters, Directory of Important Labor Areas, Occupational Guides to Local Occupations; Federal Contractor Job Listing; "New Initiatives Benefit Business and Workers.' The following are available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402: Dictionary of Occupational Titles, 4th edition, 1977 - $12.00; Career Opportunities in the Telephone and Telegraph Industries; Career Opportunities in the Trucking Industry; Career Opportunities in the Electric Power and Gas Utilities Industries. The following are also available from the Government Printing Office: Guide to Occupational Exploration; Health Careers Guidebook, 4th edition; Environmental Protection Careers Guidebook; Career Opportunities in Petroleum Exploration and Manufacture; Career Opportunities in Art Museums, Zoos, and Other Interesting Places; Career Opportunities in the Hotel and Restaurant Industries. The following are produced by the National Office Program Units and are available through the Headquarters' Office listed below: "Job Service: How It Works For You"; "Directory of Local Employment Security Agencies"; "Employment Service Counseling and Testing"; "Employment Counseling in the Public Employment Service"; "How Apprenticeship Information Centers Can Help You"; "Job Bank - Fitting the Pieces Together - Jobs Through Automation"; "Job Service: Services to Employers"; "Merchandising Your Job Talents"; "Occupations in Demand at JS Offices"; "The USES Basic Occupational Literacy Test Bolt"; "USES - Competency Based Counseling Training For Counselors".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest office of the State Employment Security Agency or the appropriate Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Office of Plans, Policies, and Design, United States Employment Service, Employment and Training Administration, Department of Labor, Washington, DC 20213. Telephone: (202) 376-6650. Contact: Joseph T. Paslawski.

**RELATED PROGRAMS:** 10.422, Business and Industrial Loans; 10.423, Community Facilities Loans; 10.424, Industrial Development Grants; 10.551, Food Stamps; 13.646, Work Incentive Program; 17.201, Apprenticeship Training; 17.202, Certification of Foreign Workers for Temporary Agricultural and Logging Employment; 17.203, Certification for Immigrant Workers; 17.225, Unemployment Insurance; 17.230, Migrant and Seasonal Farmworkers; 17.232, Comprehensive Employment and Training Programs; 17.235, Senior Community Service Employment Program; 17.245, Trade Adjustment Assistance—Workers; 27.001, Federal Civil Service Employment; 27.002, Federal Employment Assistance for Veterans; 27.003, Federal Employment for Disadvantaged Youth—Part-Time; 27.004, Federal Employment for Disadvantaged Youth—Summer; 27.005, Federal Employment for the Handicapped; 53.001, Handicapped Employment Promotion.

**EXAMPLES OF FUNDED PROJECTS:** All State employment security agencies provide the types of services described in the Uses and Use Restrictions section to the general public. Grants are made only to State Employment Security Agencies.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.225 UNEMPLOYMENT INSURANCE

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** The Social Security Act, as amended, 42 U.S.C. 501-504, 1101-1108; Trade Act of 1974, Public Law 93-618, 88 Stat. 2024, 19 U.S.C. 2311; Benefit provisions-Federal Unemployment Tax Act as amended, 26 U.S.C. 3404 note; Federal Employees and Ex-servicemen, 5 U.S.C. 8501 and 8521; Redwood National Park Expansion Act, Public Law 95-250, 92 Stat. 163, 16 U.S.C. 79K,1; Disaster Relief Act of 1974, Public Law 93-288, 88 Stat. 153, 42 U.S.C. 5171; Airline Deregulation Act of 1978, Public Law 95-504, 92 Stat. 1705, 49 U.S.C. 1552.

**OBJECTIVES:** To administer program of unemployment insurance for eligible workers through Federal and State cooperation; to administer payment of worker adjustment assistance.

**TYPES OF ASSISTANCE:** Formula Grants; Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** The States have the direct responsibility for establishing and operating their own unemployment insurance programs, while the Federal Government finances the cost of administration. State unemployment insurance tax collections are used solely for the payment of benefits; Federal unemployment insurance tax collections are used to finance expenses deemed necessary for proper and efficient administration of the State unemployment insurance (laws), and to reimburse State funds for one-half the costs of extended benefits paid under the provisions of State laws which conform to the provisions of the Social Security Act and the Federal Unemployment Tax Act. Federal Unemployment Benefits and Allowances (FUBA) funds are used to pay benefits to unemployed Federal military and civilian (including USPS) employees. Benefits for civilian employees (and postal workers) are paid out of the Federal Employees Compensation Account (FECA), and for the Trade and Redwood program (See Beneficiary Eligibility) (are also pad from FUBA) FUBA funds may not be used for any program administration costs nor for training, job search, and job relocation payments. Disaster Unemployment Assistance (DUA) is paid out of funds provided by the Federal Emergency Management Agency (FEMA).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State unemployment insurance agencies, including Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:** All workers whose employers contribute to or make payments in lieu of contributions to State unemployment funds, Federal civilian employees, ex-servicepersons, workers deemed "affected employees" in the Redwood industry, eligible protected employees under the Airline Deregulation Act, workers whose unemployment is caused by a Presidentially declared disaster under the Disaster Relief Act, and "adversely affected workers" under the Trade Act are eligible if they are involuntarily unemployed, able to work, available for work, meet the eligibility and qualifying requirements of the State law, and are free from disqualifications. Individual State information and eligibility requirements are available from local employment offices.

**Credentials/Documentation:** Award of grants to States are conditioned on the Secretary of Labor's determination that the States' unemployment compensation laws are in conformity with the Social Security Act and the Federal Unemployment Tax Act and that State practice complies with State law. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Eligible applicants are furnished application (Program and Budget Plans) by the Employment and Training Administration for this program.

**Application Procedure:** State applies for grants to the regional office of the Employment and Training Administration, based on target performance levels issued to the States through ETA regional offices pursuant to a nationally developed plan. All plans are constructed in terms of selected work loads to be undertaken and the resources and numbers of employees needed to accomplish them.

**Award Procedure:** The Assistant Regional Director for Employment and Training issues a preliminary approval within the dollar target provided by the ETA Headquarters Office, based on economic assumptions and program guidelines developed by the Headquarters Office. Regional plans are then developed for Headquarters Office approval within appropriation limitations. Final approval of State plans follows Headquarters Office approval of regional plans. Notification of awards is made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State/regional plans are submitted to Headquarters Office for final approval no later than mid-September.

**Range of Approval/Disapproval Time:** Approximately 60 days (6 weeks at Regional Office level, 2 weeks at Headquarters Office level).

**Appeals:** States may request shifts of resources within dollar ceilings available to the regions from the Headquarters Office.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching requirements - not applicable. No formula imposed by law. Distribution of resources is based in part on the following formula: Time factor (determined by survey of needed minutes per work unit) times number of workload units divided by 60 minutes equal staff hours needed; staff hours divided by State work hours equal staff years; staff years times cost/staff year equal dollar allocation.

**Length and Time Phasing of Assistance:** Annual grants. Financing of administrative costs is accomplished through Letter of Credit drawdowns needed to meet immediate cash requirements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Weekly, monthly, quarterly, and yearly statistical reports of unemployment insurance workloads.

**Audits:** Subject to audits by the U.S. Department of Labor or other authorized Government agencies. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** State requirements are to be in conformity with Federal statutes.

**FINANCIAL INFORMATION:**

**Account Identification:** Grants - 16-0179-0-1-504; Benefits - 16-0326-0-1-603.

**Obligations:** (Grants) FY 81 $1,277,042,054; FY 82 est $1,540,900,000; and FY 83 est $1,604,600,000. (Benefits) FY 81 $2,399,578,000; FY 82 est $564,000,000; and FY 83 est $280,000,000.

**Range and Average of Financial Assistance:** Grants: FY 81 $1,037,880 to $185,685,100; $24,095,133.

**PROGRAM ACCOMPLISHMENTS:** State agencies pay unemployment compensation to eligible workers and collect State unemployment taxes from employers. These agencies also pay unemployment benefits to eligible former Federal civilian employees (UCFE), ex-servicepersons (UCX), trade assistance (TRA), and disaster unemployment assistance (DUA), displaced redwood workers (REPP), and Airline Employee Protection Program (AEPP). Fiscal Year 1981: estimated Unemployment Insurance taxes collected $12,366,290,000; benefits paid $17,979,925,000. Fiscal Year 1982: Estimated Unemployment Insurance taxes to be collected $12,544,000,000; benefits to be paid $23,242,000,000; Fiscal Year 1983: Estimated Unemployment Insurance taxes to be collected $14,253,000,000; benefits to be paid $20,869,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Unemployment Insurance, How It Works For You"; "Unemployment Insurance for Ex-servicemen"; "Unemployment Insurance for Federal Workers"; "Redwood Employee Protection Program: What It Means to You"; "If Disaster Strikes — You Should Know About Disaster Unemployment Assistance"; "Significant Provisions of State Unemployment Insurance Laws;" "Comparison of State Unemployment Insurance Laws," Available on a subscription basis from Superintendent of Documents, Government Printing Office, Washington, DC 20402 ($33 per subscription).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local office of the State Employment Service; local office of the State Unemployment Insurance Service. Employment and Training Administration regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Unemployment Insurance Service, Employment and Training Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 376-7228. Contact: Robert O. Deslongchamps.

**RELATED PROGRAMS:** 17.207, Employment Service; 57.001, Social Insurance for Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:** See Uses and Use Restrictions Section of the program.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.230 MIGRANT AND SEASONAL FARMWORKERS

### Migrant and Other Seasonally Employed Farmworker Programs

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Title III, Section 303 and Title IV of the Comprehensive Employment and Training Act of 1973 as amended by Public Law 95-524, 92 Stat. 1909, 29 U.S.C. 801 note.

**OBJECTIVES:** To provide necessary employment and training and supportive services to help migrant and seasonal farmworkers, their families, and youth find economically viable alternatives to seasonal agricultural labor, and to improve the life style of seasonal agricultural workers who remain in the agricultural labor market.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Under Section 303, farmworkers and farmworker family members may be offered services such as classroom and occupational training, on-the-job training, work experience, job development, job placement relocation assistance, education assistance, health services, day care, nutritional service, legal aid, housing and other supportive services. Under Title IV, knowledge development and other youth program activities are funded within the general programmatic guidelines for Title IV programs described in program 17.232, Comprehensive Employment and Training Programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Section 303: (1) CETA prime sponsors whose jurisdictions include significant numbers of individuals meeting the definition of migrant and seasonal farmworkers for whom they have committed funds provided under Title II of the Act; or public agencies within the geographic boundaries of CETA prime sponsors who have been designated by such prime sponsors to receive Section 303 funds; (2) Private nonprofit organizations authorized by their charters or articles of incorporation to operate Employment and Training programs or such other programs or services as are permitted by Title III, Section 303 of this Act. Title IV (Farmworker Youth Programs)--current Section 303 sponsors.

**Beneficiary Eligibility:** Limited to farmworkers and their dependents who have, during 12 consecutive months in the 24 month period preceding their application for enrollment, (a) received at least 50 percent of their total earned income as agricultural workers, (b) been employed in agriculture on a seasonal basis, and (c) been identified as economically disadvantaged. Participants in Farmworker Youth Programs must satisfy the above criteria and the age criteria for Title IV programs described in 17.232, Comprehensive Employment and Training Programs.

**Credentials/Documentation:** Legal ability to receive Federal funds under requirements established for the program, which appear in the regulations (20 CFR 689) reference below. Cost determinations will be made in accordance with OMB Circular No. A-87 for State and local government applicants, and in accordance with the appropriate parts of 41 CFR 1-15 for other applicants.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Section 303 and Title IV--The standard preapplication forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Section 303 State allocations and Title IV--Eligible applicants should submit preapplications on Standard Form 424 not later than the date indicated in announcements issued by the Secretary each year and published in the Federal Register. Eligible applicants must then submit a Funding Request (FR) on forms furnished by the Department of Labor and in accordance with procedures issued to all organizations which submit a preapplication. The FR is reviewed and rated by a panel. Should the rating be favorable and if the Funding Request is selected for funding consideration, the organization will be designated a potential or conditional sponsor and authorized to enter into grant negotiations, under certain conditions. Other Section 303 funds - Unsolicited proposals will be accepted at any time for projects which meet the objectives and requirements of Section 303. Forms and instructions are available from the Headquarters Office indicated below. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Section 303 and Title IV - Announced bi-annually both for preapplication and Funding Request.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Petition for reconsideration of nonselection as a potential grantee may be made to the Secretary of Labor within 14 days of notification of the Department's decision.

**Renewals:** Grants may be renewed for 1 year if performance has been satisfactory and other relevant criteria are met.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Section 303 - At least 80 percent of funds are allocated among the States on a formula basis. The remainder is awarded for a limited number of projects in response to competitive and unsolicited proposals. CETA prime sponsors must specify how Title II resources have been used to provide special services to identified groups of migrant and seasonal farmworkers when applying for funds under both section 303 and Title IV. There are no Title IV formula requirements. The statistical factors used for fund allocation are: 1. the number of persons earning $3,000 or less in occupational areas 01, 02, and 07 SIC Codes by State, the source is, Continuous Work History Sample, Social Security Administration, Department of Health and Human Services; and, 4. the number of farmworkers by county, source, Census of Agriculture. Statistical factors used for eligibility are: 1. poverty guidelines, the source is the office of Management and Budget, poverty guidelines, and 2. lower level living standard, source is the Bureau of Labor Statistics.

**Length and Time Phasing of Assistance:** Awards of the 80 percent allocated among the States are made for 2 years, subject to satisfactory performance. All other awards are for 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly program status and financial summary reports and quarterly and annual summaries of participant characteristics are required of sponsors.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organization, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular. Audits may be conducted by the Inspector General of the Department of Labor (DOL) and other authorized Government agencies or independent public accountants selected by DOL.

**Records:** Sponsors are required to maintain complete accounting, personnel, evaluation, and program records in accordance with 41 CFR 29-70.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0174-0-1-504.

**Obligations:** Section 303 (Grants and contracts) FY 81 $83,225,000; FY 82 $70,358,000; and FY 83 est $0. Title IV - included in 17.232, Comprehensive Employment and Training Programs.

**Range and Average of Financial Assistance:** Section 303 - $100,000 to $5,000,000.

**PROGRAM ACCOMPLISHMENTS:** Approximately 131,565 were served during fiscal year 1980. Approximately 133,656 were served during fiscal year 1981. Approximately 10,600 entered jobs ranging from skilled trades to technical positions in the medical field, 3,015 participated in work experienced projects, 2,835 in on-the-job training, 14,877 in classroom training and 190,558 Supportive Services transactions were provided such as health, medical, nutritional, legal child care, etc. Program activities and enrollment levels will remain at approximately the same level during fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 20 CFR 689. Further information is available from the Office of National Programs, Office of Farmworker and Rural Employment Programs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Department of Labor Employment and Training Administration regional offices listed in Appendix IV of the Catalog can provide limited information on this program. Contact Headquarters Office below for detailed information.

**Headquarters Office:** Office of National Programs, Office of Farmworker and Rural Employment Programs, Employment and Training Administration, Department of Labor, Rm 6304 601 D St., N.W., Washington, DC 20213. Telephone: (202) 376-6128. Contact: Alfred E. Berndt.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 17.207, Employment Service; 17.232, Comprehensive Employment and Training Programs; 84.011, Migrant Education—Basic State Formula Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Most projects offer comprehensive manpower and supportive services. Most project funds and staff time are devoted to training, mainly consisting of classroom training, on-the-job training, vocational training and adult education. In addition, counseling, placement, and supportive services are provided to those in training. Emergency housing and health, training in agricultural enterpreneurship and other services are provided to farmworkers who want to remain in agriculture. Special projects funded from the part of Section 303 funds which is not allocated among the States include such activities as interagency efforts to train farmworkers in such fields as energy and housing.

**CRITERIA FOR SELECTING PROPOSALS:** The regulations for this program describe the factors used to rate Funding Requests and the relative weight assigned each factor. Factors considered include program development (training, services, and program impact), delivery system, administrative capability, responsiveness to farmworkers (involvement of farmworker boards/advisory councils and staff sensitivity), linkages and coordination, and experience (program experience regardless of nature of clientele, and farmworker experience). Special projects are funded at the discretion of other evaluation review process of the Department of Labor and are not necessarily subject to all of the above rating factors.

## 17.232 COMPREHENSIVE EMPLOYMENT AND TRAINING PROGRAMS

## (CETA)

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Titles I, II, IV, and VII of the Comprehensive Employment and Training Act of 1973, as amended, Public Law 95-524, 92 Stat. 1909, 29 U.S.C. 801 note.

**OBJECTIVES:** To provide job training and employment opportunities for economically disadvantaged, unemployed, and underemployed persons and to assure that training and other services lead to increased earnings and enhanced self-sufficiency by establishing a flexible decentralized system of Federal, State, and local programs.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Title I--Administrative Provisions--contains the general provisions governing the Act, including the designation of State and local prime sponsors to administer the program, the planning and plan approval process, and special responsibilities of the Governor and State and local advisory councils. The title also establishes an Office of Management Assistance to provide support to prime sponsors and contains provisions relating to program audits and investigation and compliance activities. This title also states time limitations for participation in programs authorized by the Act. The participation limits are: 1,000 hours in any 1 year period and 2,000 hours in any 5 year period for work experience; and 30 months in any 5 year period for overall participation in CETA. In addition, payment of allowances to classroom training participants is limited to 104 weeks in any 5 year period. Title II--Comprehensive Employment and Training Services--provide for the comprehensive employment and training services previously authorized under Title I. Allowable program activities include classroom and on-the-job training, work experience, and other services (Part B); and upgrading and retraining (Part C). Participants enrolled in training programs and services (except upgrading and retraining) must be economically disadvantaged and either unemployed, underemployed, or in school. Title IV. YCCIP--Youth are employed on community-planned projects that produce tangible benefits to the community. The projects are often organized by private nonprofit organizations and agencies that are sensitive to the needs of youth. YETP--Projects provide a variety of year-round employment and training activities intended to enhance job prospects and career opportunities that will lead to unsubsidized employment. SYEP--Provides part-time employment and training activities during the summer months. All programs are targeted by statute or by regulation to economically disadvantaged, unemployed, or underemployed youth except in YETP, where 10 percent of the funds are for youth of all economic backgrounds. Title VII--The Private Sector Initiative Program (PSIP) was established to demonstrate ways of encouraging business, both large and small, to become more involved in the training and hiring of economically disadvantaged workers. Prime sponsors - over 470 State and local governments, plus Native American Indian Tribes and groups - receive grants from the Department of Labor to operate local private sector programs. To receive PSIP funds, a prime sponsor must establish a private industry council (PIC) which acts as an intermediary between the sponsor and the business community.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Title II, Parts B and C - States, units of general local government having a population of 100,000 or more, consortia of local government units at least one of which has a total population of 100,000 or more, units of local government considered eligible by the Secretary because of special circumstances, U.S. Territories, and a limited number of Concentrated Employment Program grantees in existence in December 1973 when CETA was enacted. Title IV - prime sponsors under Title II of the Act. Title VI - Applicants qualified under Title II, Parts B and C and Indian Tribes on Federal or State reservations. Title VII applicants qualified under Title II, Parts B and C.

**Beneficiary Eligibility:** Title II, Parts A, B, and C - Economically disadvantaged persons ( a person who is either a member of a family which receives public assistance, a member of a family whose income is less than either 70 percent of the lower living standard income level or the poverty level, a foster child on whose behalf State or local government payments are made, a client of a sheltered workshop, a handicapped individual, a person residing in an institution providing 24-hour support or a regular outpatient of a mental hospital, rehabilitation facility or similar institution) and unemployed, underemployed, or in school except for persons enrolled under Part C (upgrading) who are operating at less than full skill potential, primarily in entry level positions which offer little advancement opportunity. For retraining, a person must have received a bona fide layoff notice in the last 6 months and have little opportunity for reemployment. Title IV: YCCIP--Youth, 16-19 years of age, who are in-school or out-of-school and unemployed. Preference is given to economically disadvantaged out-of-school young people who experience severe problems in finding employment. YETP--Youth who are 14-21 years of age, in school, unemployed, or underemployed and who have severe handicaps in obtaining employment, and whose total family income, annualized on a 6 month basis, does not exceed 85 percent of the Bureau of Labor Statistics lower living standard income level or who are economically disadvantaged. Up to 10 percent of the funds may be used to serve a mixture of youth from all economic backgrounds. SYEP--In-school and out-of-school youth, 14-21 years of age. Youth applying for participation in these programs must meet the criteria for economically disadvantaged lower living standard level. Title VII: For PSIP programs, the eligibility requirements are the same as set forth for Title II-B and II-C of Act. Workers receiving services under PSIP (except upgrading and retraining) must be (1) economically disadvantaged and (2) unemployed, underemployed, or attending school. For upgrading, a person must be operating at less than full skill potential and working for at least the prior six months in either entry level, unskilled, or semi-skilled positions or positions with little or no advancement opportunity in a normal promotional line. Priority consideration will to given to those workers who have been in entry level positions for the longest period of time, and who have potential for upward mobility. To be retrained under PSIP, a person must have received a bona fide layoff notice in the last six months and stand little chance of finding an equivalent job in the same labor market. Workers being upgraded must be employed at less than their full potential at low-skill jobs with limited opportunity for advancement.

**Credentials/Documentation:** Prime sponsor must sign assurances and certification that it will comply with the Act, applicable regulations, and Part III of OMB Circular No. A-95, and that costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For consortia, a copy of the consortium agreement must be provided. A prime sponsor master plan and an annual plan for each title must be submitted, development of which utilizes input from advisory councils appointed by the prime sponsor. The composition of the required advisory council must be included as part of the prime sponsor's plan. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants submit a notification of intent to apply for a grant to the Regional Administrator for the Employment and Training Administration, the Governor, and appropriate A-95 clearinghouses. The standard preapplication forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applicants which have been designated as prime sponsors and eligible to receive funds will be furnished a grant application package which is to be submitted to the Regional Administrator with copies to the Governor and appropriate State and areawide A-95 clearinghouses. A summary of the application will be published in one issue of a general circulation newspaper. Copies of the plan will be provided to the Governor, the State Employment and Training Council, the prime sponsor planning council, appropriate labor organizations and the Private Industry Council with notice of an opportunity to review the plan going to appropriate units of local government in its area and appropriate Native American recipients.

**Award Procedure:** The award is made by the Regional Administrator for Employment and Training Administration. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular No. 1082.

**Deadlines:** Each prime sponsor applicant shall submit its grant application to the Regional Administrator on or before the date set by the Secretary.

**Range of Approval/Disapproval Time:** No application shall be disapproved until prime sponsor has been given not less than 30 days to remedy defect found in the application.

**Appeals:** Final disapproval of an application or plan must not be made without affording the eligible appicant opportunity for a hearing.

**Renewals:** None.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Title II B and C - 85 percent of available funds are allocated to prime sponsors according to the following formula in fiscal year 1980: Two thirds of this amount is allocated based on the prime sponsor's proportion of 1) employment and training funds allocated by formula under this title in the previous fiscal year compared to the sums received by all States under such title in that year (50 percent); 2) total number of unemployed persons in all prime sponsor's areas (37-1/2 percent); 3) number of adults in low income families (12-1/2 percent). The remaining one third of funds are allocated among prime sponsors in accordance with the prime sponsor's proportion of unemployed persons residing in areas of substantial unemployment. Individual prime sponsor allocations are adjusted to assure that no prime sponsor will receive less than 90 percent of the employment and training funds allocated to its area for the prior fiscal year. Title IV - YCCIP--75 percent of the funds are allocated among the States on the basis of the relative number of unemployed persons within each State as compared to all States except that not less than one-half of 1 percent shall be allocated for projects under this subpart within any one State and not less than one-half of 1 percent shall be allocated in the aggregate for projects in Guam, the Virgin Islands, American Samoa, the Northern Mariana Islands, and the Trust Territory of the Pacific Islands. YETP - 75 percent of funds available are allocated to prime sponsors according to formula: 37.5 percent by share of all unemployed persons; 37.5 percent by share of all unemployed persons residing in areas of substantial unemployment; and 25 percent by share of persons in low-income families. Five percent of funds available are allocated to Governors, for state-wide youth services, using the same formula. SYEP - 95 percent of funds available are allocated to prime sponsors according to formula: 50 percent by share of SYEP funds in previous year; 37.5 percent by share of all unemployed persons; and 12.5 percent by share of adults in low-income families; except that each prime sponsor shall receive an allocation which, when added to its unexpended allocation for the previous fiscal year, shall be at least equal to the amount available to it for its summer program in the previous fiscal year. Title VII -- Eighty-five percent of funds available are allocated to prime sponsors as provided for in Title II-B. Minimum allocated levels may be established to ensure that every prime sponsor receives an allocation sufficient to mount a viable program. No less than two percent of funds is used to support PSIP programs for Native American entities; no more than three percent of the funds available shall be provided to prime sponsors that establish a single Private Industry Council that serves a substantial portion of a functioning labor market area. Ten percent of funds shall be used for incentives to promote coordination with Economic Development Activities. The statistical factors used for fund allocation are: 1) prior year funding, the source is Administrative Data, ETA; 2) number of unemployed, the source is State, County, and Selected Employment, BLS; 3) excess number of unemployed calculated from civilian labor force data, the source is the same as item 2; 4) area of substantial unemployment calculated from unemployment rate data, source same as item 2; 5) number of adults in low income families: calculated from two sources; population data (Census Estimates, Census) and Consumer Price Index, BLS; 6) persons in low income families calculated from the 2 sources cited in item 5. Statistical factors used for eligibility is based on population of 100,000.

**Length and Time Phasing of Assistance:** Funds are allocated each fiscal year based on 1970 official Census or certified updates determined adequate by the Secretary and unemployment data provided by the Bureau of Labor Statistics. Allocations made to prime sponsors are published in the Federal Register as soon as possible after enactment of any fiscal year appropriation.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** A Program Status Summary, Financial Status Report, and Quarterly Summary of Participant Characteristics are required quarterly. A CETA Program Activity Summary Report, a Report of Detailed Characteristics, and a Report of Training Enrollments and Completions are required annually.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular. Audits of prime sponsors will normally be conducted annually but not less than once every 2 years by city or State auditors or by certified or licensed public accountants.

**Records:** Prime sponsors are required to maintain adequate records of financial transactions, program activities, and participant characteristics in accordance with the requirements of DOL regulations at 41 CFR 29-70.203b.

### FINANCIAL INFORMATION:

**Account Identification:** 16-0174-0-1-504; 16-0173-0-1-504.

**Obligations:** (Grants) Title II-B,C, FY 81 $2,118,639,000, Title II D $1,365,081,000; FY 82 est $1,758,672,000; FY 81 Title IV (YETP, SYEP, YCCIP) $1,626,653,000, Title VI $447,298,000, Title VII $148,275,000; FY 82 est Title IV, (YETP, SYEP, YCCIP) $871,549,000, Title VII $250,000,000; and FY 82 est Title II-D and VI $0, Title IV (SYEP only) $679,549,000, Title VII, $230,000,000; FY 83 est $0.

**Range and Average of Financial Assistance:** No established range; based on formula allocations.

**PROGRAM ACCOMPLISHMENTS:** Current enrollments at the end of fiscal year 1981 were for Title II-A,B,C, 245,805, Title II D, zero enrollees, for Title IV, YCCIP - 4,341 enrollees, YETP - 61,735 and SYEP - 6,157 enrolles (summer peak), and for Title VII - 26,577.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Titles I, II, IV, and VII - 20 CFR 675-679, Federal Register of May 20, 1980, and January 23, 1981; and subpart F, Federal Register April 6, 1979.

### INFORMATION CONTACTS:

**Regional or Local Office:** Contact appropriate Regional Employment and Training Office listed in Appendix IV.

**Headquarters Office:** Employment and Training Administration, Department of Labor, 601 D Street N.W., Washington DC 20213. Contact: Titles I, II, VII - Jess Ramaker. Telephone: (202) 376-6254; Title IV - Richard Gilliland. Telephone: (202) 376-2646.

**RELATED PROGRAMS:** 17.243, Special National Programs and Activities for the Disadvantaged.

**EXAMPLES OF FUNDED PROJECTS:** Title IV - YCCIP - Project participants rehabilitate or improve public facilities (including removal of architectural barriers which limit access to the handicapped), make neighborhood improvements and basic repairs to low-income housing, and work on weatherization and energy conservation projects. Training provided must be directly related to the development of specific skills needed for the job. YETP - Programs may include any type of employment and training program activity except public service employment. Work experience activities are in such community betterment fields as health care, education, neighborhood transportation, crime prevention and control; other program activities include classroom training and on-the-job training. Programs are to be designed to provide career information and counseling, labor market information, vocational exploration, and other assistance. Activities on behalf of in-school students are to be arranged through agreement with local education agencies. States are allocated 10.5 percent of the total funds appropriated for Title II for carrying out the provisions of section 110 (State Employment and Training Councils); Governor's coordination and special services under section 105; providing financial assistance for vocational education; and for encouraging coordination and linkages between prime sponsors and appropriate educational linkages. Title VII, PSIP, Prime Sponsor/PIC Activities - Classroom training and OJT, PIC Involvement in other CETA titles, PIC Targeted Jobs Tax Credit activities, PIC economic development activities, PIC involvement with organized labor, PIC involvement with community - based organization and education agencies, and Title VII services to special groups.

**CRITERIA FOR SELECTING PROPOSALS:** Title IV - YCCIP - Prime sponsors select proposals from community groups based on previous program performance, financial management capability, qualifications of staff members who will have operational and fiscal accountability, provision for adequate training of personnel, performance under other Federal programs, and the ability to meet other requirements of the Act and regulations. First preference is given to community-based organizations of demonstrated effectiveness in providing employment and training services to youth. To be approved, each project must: (1) not exceed 12 months duration; (2) provide tangible output and measurable benefits accruing to the community; (3) benefit participants in terms of work habits, skills, apprenticeable skills, and attainment of academic credit, where applicable; (4) be labor intensive; (5) assure adequate supervision; (6) describe or assure adequate qualifications of supervisors in terms of necessary skill and experience; (7) assure that in-school youths employed will be able to coordinate their jobs with classroom instruction and to the extent feasible receive academic credit for their participation in the program; and (8) assure that any person hired to supervise youth shall not impede the promotional rights of existing employees. YETP - Prime sponsors select proposals based on previous performance, financial management capability, qualifications of persons who will have operational and fiscal accountability, provision for adequate training of personnel, performance under other Federal programs, and the ability to meet other requirements of the Act and the regulations, with special consideration given to community based organizations. Each prime sponsor is to establish procedures for its own use and the use of its program agents (1) for notifying potential project applicants of the application process and cut-off date for acceptance of project applications and (2) for submitting, upon receipt, a copy of each project application to the prime sponsor's planning council to allow the council to submit comments and recommendations with respect to the project application. All projects are to be planned not to exceed 18 months from their commencement. A project may be extended in increments of up to 18 months, if, after a documented review of the project, the prime sponsor determines that the project has been effective.

## 17.233 EMPLOYMENT AND TRAINING RESEARCH AND DEVELOPMENT PROJECTS

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Title III of the Comprehensive Employment and Training Act of 1973 as amended by Public Law 95-524, 92 Stat. 1909, 29 U.S.C. 801 notes. Part C, Title IV of the Social Security Act, as amended.

**OBJECTIVES:** To support employment and training studies to develop policy and programs for achieving the fullest utilization of the Nation's human resources; to improve and strengthen the functioning of the Nation's Employment and Training System; To develop new approaches to facilitate employment of the difficult to employ; and to conduct R&D addressing the employment implications of long-term social and economic trends and forces.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** (1) Research projects are for the purpose of development of employment and training knowledge with special emphasis on generalized policy and program applications. Studies may be limited to special areas only where they can be shown to provide a basis for generalized conclusions or to have application over a wide area. (2) Although service is not the primary function of experimental and demonstration projects, the demonstration population participating in them receives services specific to the project design. Projects focus on distinctive training or employment problems which are not being met effectively by established employment and training service programs and seek to determine how to meet such problems through new techniques. Funds can be used to finance all operating costs required by specified project designs (such as administrative costs, training, counseling, recruiting, job development, and placement). (3) Experimental and demonstration funds are concentrated on developing new techniques which might significantly guide overall policy and programming. They are not available to extend methods developed in some areas or occupation (even though such projects might have distinctive elements and be useful for the particular area), or to make up for what essentially are inadequacies in the level of resources available for employment and training programs. Research and development projects facilitating the implementation of CETA State and local employment and training program operations are encouraged. Such projects should be of general applicability. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State colleges and universities, public, private, junior and community colleges, State and local government organizations including U.S. Territories, and other organizations and individuals capable of fulfilling the objectives of the programs. There are no formal guidelines or conditions performers must meet other than that they have demonstrated financial responsibility and competence to fulfill the terms of the contract or grant.

**Beneficiary Eligibility:** For research projects, state colleges and universities, public, private, junior and community colleges, state and local government organizations including U.S. Territories, and other organizations and individuals. With respect to experimental and demonstration projects, eligibility is determined by the specific design of each project; this is a function of the objectives of the project and the characteristics of the target group. Costs will be determined in accordance with FMC 73-8 for educational institutions.

**Credentials/Documentation:** See Applicant Eligibility and Beneficiary Eligibility sections of this program description. For the conduct of research projects all academic institutions must be accredited.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** (1) Research Projects -- made in the form of a proposal that complies with specific guidelines obtainable from the Employment and Training Administration Office of Research and Development. (2) Experimental and Demonstration projects -- preliminary proposals or full formal proposals may be submitted directly to headquarters office. No specific format required. For some types of projects, Research, Demonstration, and Experimentation requests for procurement may be issued; these specify application procedures for the particular project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** No special procedural steps; consultation with affected agencies or organizations developed on project by project basis. See procedure described in guidelines published in Research and Development Projects: See "Regulations, Guidelines, and Literature" section below. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Supplemental reporting procedures are used on a semiannual basis.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** From 45 to 90 days.

**Appeals:** Not applicable (except in cases when Request for Proposal is used).

**Renewals:** Extensions available upon approval, or refunding may be negotiated.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** In certain instances the performing organizations are required to make a more than token contribution to the total cost of the project in accordance with FMC 73-3.

**Length and Time Phasing of Assistance:** Normally 1 to 2 years. Funds are released through Letters of Credit or on a pre-determined schedule included as part of the official contract/grant document.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Each grantee is required to file periodic progress reports, and at the end of the grant period each grantee is required to submit up to 200 copies of a formal comprehensive final report on project activities and conclusions.

**Audits:** Subject to audits for 3 years from date of final payment by the U.S. Department of Labor, other authorized Government agencies, or independent public accountants selected by USDOL. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** Contractor and/or grantee is required to maintain books, records, documents, and other evidence of accounting procedures and practices, sufficient to reflect properly all direct and indirect cost of whatever nature claimed to have been incurred for the performance of the contract or grant. Records are to be retained for 3 years from the date of final payment or until the grant officer authorizes earlier disposal.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0174-0-1-504; 75-1639-0-1-504.

**Obligations:** (Grants) FY 81 $9,943,000; FY 82 est $8,070,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $1,000 to $1,000,000; $175,000. Research projects average somewhat less than experimental and demonstration projects.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 50 new R&D or major modifications of existing projects were initiated. In fiscal year 1982, approximately 30 new R&D or major modifications of existing projects will be initiated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Research and Development Projects," issued annually-no charge. Available from headquarters office listed below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Office of Research and Development, Employment and Training Administration, Department of Labor, Washington, DC 20213. Telephone: (202) 376-7335. Contact: Robert Manifold. Telephone: (202) 376-7255.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** "The Downriver Community Conference Economic Readjustment Program" (a project designed for reemploying experienced workers through industry participation in planning and implementation of reemployment and retraining programs). "Targeted Enterprise development Policy and Demonstration Initiative" (an effort to explore how Federal, State and local government can work with the private sector to foster creation of new and expanded small enterprise that both create jobs and add to production of needed goods and services). "Employment Services demonstration Offices Programs" (a series of experiments and demonstrations designed to improve the effectiveness of local office efforts to place unemployed persons in jobs). "National Longitudinal Surveys" (a project designed to identify and explore the factors influencing labor force behavior in six population groups at critical transition stages in working life). "Survey of Local Prime Sponsor Management Systems" (a project documenting and analyzing prime sponsor use of successful management systems so that such practices can serve as guides for other sponsors).

**CRITERIA FOR SELECTING PROPOSALS:** 1) Relevance to program objectives, 2) Degree of priority, 3) Individual/organizational capability, 4) Project design, and 5) Economy efficiency.

## 17.234 EMPLOYMENT AND TRAINING—INDIANS AND NATIVE AMERICANS

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Title III, Section 302 of the Comprehensive Employment and Training Act of 1973 as amended, Public Law 95-524, 92 Stat. 1909,29 U.S.C. 801 note.

**OBJECTIVES:** To reduce the economic disadvantages among Indians and others of Native American descent and to advance the economic and social development of such people in accordance with their goals and life styles.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be utilized for employment and training programs and services, including institutional training, on-the-job training, public service employment, work experience, youth employment programs, day care, health care, job search, relocation and transportation allowances designed to aid the beneficiary to obtain and retain employment. There are specified restrictions on the amount of grant funds which can be used for administrative costs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Indian tribes, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act of 1971 (85 Stat. 688)), and Hawaiian Native communities meeting the eligibility criteria to carry out the program or where such tribes, bands or groups do not meet the eligibility criteria, public bodies or private nonprofit agencies selected by the Secretary. Tribes, bands and groups may also form consortia in order to qualify for designation as a grantee. An independently eligible grantee shall be an Indian or Native American entity which has: (1) A governing body as defined in 20 CFR 688.3 (2) and identifiable resident population of at least 1,000 individuals and (3) the capability of administering a comprehensive manpower program. More detailed requirements for consortium grantee applicants are set forth in 20 CFR 688.10.

**Beneficiary Eligibility:** Members of State or federally recognized Indian tribes, bands and other individuals of Native American descent, such as, but not limited to, the Klamaths in Oregon, Micmac and Maliseet in Maine, the Lumbees in North Carolina, and South Carolina, Indians variously described as terminated or landless, Eskimos and Aleuts in Alaska, and Hawaiian Natives. ("Hawaiian Native" means any individual any of whose ancestors were natives of the area which consisted of the Hawaiian Islands prior to 1778.) Applicants must be economically disadvantaged, unemployed, or underemployed and have their residences within the area covered by the grantee's comprehensive plan of service.

**Credentials/Documentation:** Prior to application for each fiscal year, an applicant who wants to be designated as a grantee must submit a notification of intent to apply. Consortium applicants must include a formal consortium agreement the with attachments specified in 20 CFR 688.11. A formal grant application is to be submitted by the designated grantees. It will include an application for Federal assistance form and a comprehensive employment and training plan which will include (1) a program narrative description, (2) a program planning summary, (3) a budget information summary, (4) a public service employment occupational summary. Costs of grants to federally recognized Indian Tribal governments will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A copy of the Employment and Training Administration Forms Preparation Handbook will be furnished eligible applicants who submit a notification of intent to apply. Technical assistance will be provided by the Employment and Training Administration, Department of Labor, in the preparation of the Notification of Intent and Grant application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applicants must submit a Comprehensive Employment and Training Plan and a grant agreement to the Employment and Training Administration, Office of Indian and Native American Programs. Copies of these documents and instructions for completing them are contained in the Employment and Training Administration Forms Preparation Handbook. This program is subject to the provisions of OMB Circulars No. A-102 and for nonprofit agencies No. A-110.

**Award Procedure:** Grants will be made directly to eligible grantees by the Employment and Training Administration of the Department of Labor. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Notices of intent to apply for a grant are due by March 1 of each year.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** Applicants will be notified of reasons for any disapproval of the application and given a reasonable time to make adjustments and resubmit the application. Final disapproval of an application or plan submitted by a designated grantee will be not be made without affording the eligible applicant opportunity for a hearing.

**Renewals:** Grants may be renewed on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds will be allocated taking into consideration previous years' funding levels and Indian and Native American unemployment, and low-income families. There are no matching requirements. The statistical factors used for fund allocation are: 1. the number of low income Indians by county, Title III, the source is the 1970 Decennial Census; 2. the number of unemployed Indians by county, Title III, the source is the 1970 Decennial Census; and 3. the annual census of unemployed reservation Indians, Title IV, the source is the Annual Census of Unemployed Reservation Indians Bureau of Indian Affairs. Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Funds will be made available through annual fiscal year grants. Funds must be expended within 2 years from date of obligation. Payment will be made by advance Treasury check or Letter of Credit depending on the size of the grant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Program Status Summary, Financial Status Summary reports; Report of Federal Cash Transactions for grants under $120,000 Summary of Participant Characteristics report, CETA Program Activity Summary and Report of Detailed characteristics. All reports due annually.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** Financial records, supporting documents, statistical records and all other pertinent records shall normally be retained for a period of 3 years. Participant record shall be retained for 5 years. They must be retained longer in cases such as when audit findings have not been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0174-0-1-504; 16-0173-0-1-504.

**Obligations:** (Grants) FY 81 $160,817,000; FY 82 est $81,643,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $50,000 to $7,500,000; $1,000,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, this program provided about 50,000 new employment and training opportunities to Indians and others of Native American descent and also provided such peoples with an opportunity to determine their own best solutions to their employment and training problems. In fiscal year 1980, 193 recurring and new grantees were funded providing Native American employment and training opportunities in all 50 states. Total applications received for fiscal year 1981 were 200. It is estimated that approximately 50,000 participants will be served. In fiscal year 1982, 195 recurring and new grantees were funded and approximately 50,000 eligible participants was served. In addition to the normal grants funded, 42 Private Sector Initiative Program grants were funded in 1981 through a competitive process (only applicants designated under CETA, Sector 302(c)(1) A & B was eligible for this program).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Register, Vol. 44, No. 93, Friday, May 11, 1979, 20 CFR 688. Forms Preparation Handbook, Employment and Training Administration, Department of Labor.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact Project Officer, Division of Indian and Native American Programs at the following locations: Regions I, II, III, IV, V, Part of VI and VII and VIII - Room 6402 D St., N.W., Washington, DC 20213. Telephone: (202) 376-7282; Region VIII - Room 16440, Federal Office Building, 1961 Stout St., Denver, CO 80202. Telephone: (303) 837-2914; Region IX - 450 Golden Gate Ave., P.O. Box 36084, San Francisco, CA 94102. Telephone: (415) 556-7305; Region X - Room 1114, Federal Office Building, 909 First Avenue, Seattle, WA 98174, Telephone: (206) 442-7033, and Room 204, 550 W. 8th Ave., Anchorage, AK 99510, Telephone: (907) 271-4327.

**Headquarters Office:** Office of Indian and Native American Programs, Employment and Training Administration, Department of Labor, 601 D St., N.W. Washington, DC 20213. Telephone: (202) 376-7284. Contact: Pete Homer Jr.

**RELATED PROGRAMS:** 13.612, Native American Programs—Financial Assistance Grants; 15.108, Indian Employment Assistance; 15.124, Indian Loans—Economic Development; 17.207, Employment Service; 17.232 Comprehensive Employment and Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** All funded projects have in common the provision of a comprehensive set of manpower services. Example of these services are training, direct employment by grantee, referral to other employment, counseling, work experience, child care, testing, job orientation, and follow-up on terminated participants.

**CRITERIA FOR SELECTING PROPOSALS:** Proposal must meet all requirements of the regulations. Most important requirements are: 1) evidence that it will increase the employability of participants; 2) evidence that it will increase their income; 3) evidence of support of the Native American population in the area to be served;

and 4) evidence applicant has the experience or competence to carry out an effective manpower program.

## 17.235 SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Title V of Older Americans Act, as amended, Public Law 97-115, 92 Stat. 1595, 42 U.S.C 3001 note.

**OBJECTIVES:** To provide, foster, and promote useful part-time work opportunities (usually 20 hours per week) in community service activities for low income persons who are 55 years old and older, and who have poor employment prospects.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**ES AND USE RESTRICTIONS:** Organizations which receive project grants may use the funds to create and pay for part-time community service job positions for economically disadvantaged persons aged 55 and above. The individuals who are employed may be placed in work assignments at local service agencies (e.g., school, hospitals, day care centers, park systems, etc.), or may be given work assignments in connection with community service projects. A portion of project funds may be used to provide participants with training, counseling, and other supportive services. No more than 15 percent of the Federal share of the project costs may be spent for administration. Participants may not be employed in projects involving political activities, sectarian activities, or involving work which would ordinarily be performed by the private sector; nor may participants displace any employed worker or perform work which impairs existing contracts for service.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The following types of organizations are eligible to receive project grants: (1) States, (2) national public and private nonprofit agencies and organizations other than political parties, (3) U.S. Territories.

**Beneficiary Eligibility:** Adults 55 years or older with an income at or below 125 of the OMB poverty level.

**Credentials/Documentation:** Prospective participants must provide and certify information relative to personal financial status which is needed to determine whether the individual is economically disadvantaged. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and in accordance with the appropriate parts of 41 CFR 1-15 for other recipients.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Awards are not on an annual competitive basis. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular A-95 (revised).

**Application Procedure:** The Office of National Programs for Older Workers, Employment and Training Administration will provide information concerning proper application, format and content. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by State and local governments.

**Award Procedure:** Awards are made by the Director, Office of National Programs for Older Workers.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Approximately 6 weeks.

**Appeals:** None.

**Renewals:** New grants are awarded annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statutory allocation formula (Section 506 of the Act) provides for the distribution of funds among States on the basis of the number of persons aged 55 and over residing in each State and the per capita income in each State. Hold-harmless considerations have been authorized, however, for ongoing projects conducted by certain national-level organizations. Project sponsors must contribute at least 10 percent of the costs of the project. The sponsor share of costs may be contributed in cash or in kind. This program has Maintenance of Effort (MOE) requirements, see funding agency for further details. The statistical factors used for fund allocation are: 1. the number of persons over 55 years old by State, the source is Census P-25 Current Population Reports, 2. P.C.I. - by state annual, the source is State and County Personal Income, Bureau of Economic Analysis; and 3. persons in poverty calculated from two sources: OMB poverty guidelines and Census P-60 Current Population Reports. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Annually funded. Funds are drawn down from Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Quarterly progress reports, (2) Quarterly Financial Status Report.

**Audits:** Project grant or contract recipients should audit financial management systems usually annually but no less frequently than once every 2 years. Project records, financial and otherwise, are subject to audit by the Department of Labor and the Comptroller General. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audits of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** Normally to be retained by the grant or contract recipient for a 3-year period following the completion of the grant or contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0175-0-1-504.

**Obligations:** (Grants and Contracts) FY 81 $277,100,000; FY 82 est $277,100,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not calculated.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 52,250 positions were established under the program In fiscal year 1982, 54,200 positions were established.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 29 CFR 89.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Office of National Programs for Older Workers, Employment and Training Administration, Department of Labor, 601 D St., N.W., Washington, DC 20213. Telephone: (202) 376-6232. Contact: Paul Mayrand.

**RELATED PROGRAMS:** 17.232, Comprehensive Employment and Training Programs.

**EXAMPLES OF FUNDED PROJECTS:** The Office of National Programs awards grant to 46 States, the District of Columbia, Puerto Rico, Trust Territories, the Northern Mariana Islands, American Samoa, Guam and Virgin Islands along with eight national organizations. A variety of organizational arrangements are used to administer the SCSEP projects. Most of the sponsors have contractual relationships and agreements with local service organizations. In many cases the SCSEP program is operated by a unit within the State aging agency and within sub-State area agencies on aging. Some of the national sponsoring organizations administer the SCSEP local projects directly through their affiliates. Each local project is required to coordinate its activities with the CETA prime sponsor and with the State employment service, and the State Office of the aging. All of the projects operated under the auspices of the Senior Community Service Employment Program are basically the same in that services are provided through host agencies to the community at large or to the elderly community in general. Some of the activities have included transportation for the elderly, housing programs that have included winterization as well as weatherization, serving the community as librarians, teachers aides, nutritional aides, etc.

**CRITERIA FOR SELECTING PROPOSALS:** For fiscal year 1982, awards will be made only to present grantees.

## 17.243 SPECIAL NATIONAL PROGRAMS AND ACTIVITIES FOR THE DISADVANTAGED

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Comprehensive Employment and Training Act of 1973, Title III, Sections 301, 304-306, as amended by Public Law 95-524, 92 Stat. 1909, 29 U.S.C. 801 note.

**OBJECTIVES:** To provide, foster, and promote training and other employment related services to groups with particular disadvantages in the labor market. To promote and foster new or improved linkages between the network of Federal, State, and local employment and training agencies and components of the private sector. To carry out other special Federal responsibilities under CETA.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used to provide or arrange for job training, related services, and job opportunities for members of groups with particular disadvantages in the general labor market or in certain segments of the labor market. These groups may include displaced homemakers, offenders, persons with limited English-speaking ability, handicapped persons, young people, single parents, women, minorities, displaced workers, and persons lacking educational credentials. Project contracts may also be made for a variety of promotional, developmental, and research-related activities associated with special Federal responsibilities under CETA.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, Federal agencies, private nonprofit and profit-making organizations, and educational institutions. NOTE: Applicant eligibility may be restricted to one or more applicant classes under particular announcements and solicitations.

**Beneficiary Eligibility:** Generally limited to the economically disadvantaged, normally with further targeting by sex, age group, race, and/or other demographic criteria.

**Credentials/Documentation:** Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, FMC 73-8 for publicly financed educational institutions, and the appropriate parts of 41 CFR 1-15 for other recipients.

**APPLICATION AND AWARD PROCESS:** Competitive and Sole Source Contracts.

**Preapplication Coordination:** Solicited Proposals and Applications - The Employment and Training Administration (ETA) will furnish instructions regarding preapplication procedures in the solicitation; Unsolicited Proposals - Preapplications should be prepared and submitted in accordance with 20 CFR 690.206.

**Application Procedure:** Solicited Proposals and Applications - Instructions regarding application procedures will be furnished in the solicitation; Unsolicited Proposals - Applicants should follow instructions furnished by ETA in response to the unsolicited preapplication. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Contracts are usually awarded by the ETA Office of National Programs. Occasionally, awards are made by the Office of Policy, Evaluation, and Research and by ETA regional offices. Award procedures will vary according to the purpose of the contract or group of contracts concerned. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Supplemental reporting procedures are used on a semiannual basis.

**Deadlines:** Unsolicited preapplications - none. Solicited proposals and applications - ETA will indicate applicable deadlines in the solicitation.

**Range of Approval/Disapproval Time:** From 30 to 90 days.

**Appeals:** None.

**Renewals:** Renewals are not automatic.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not required by statute but may be administratively imposed for particular solicitations or groupings of contracts.

**Length and Time Phasing of Assistance:** Contracts usually cover 1 year period. Payments to grantees or contractors are usually made by letter of credit procedures.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly progress and financial reports are normally required. Refer to CETA Forms Preparation Handbook for examples of the kinds of reports normally required.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than contract-by-contract) under GAO guidelines, Standards, for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of the Circular. In addition, periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Recipients must maintain records of financial expenditures and program performance for three years after final payment under their contracts. Refer to CETA Forms Preparation Handbook for examples of kinds of records to be maintained.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0174-0-1-504.

**Obligations:** (Contracts) FY 81 $125,000,000; FY 82 est $47,000,000; and FY 83 est not presently available.

**Range and Average of Financial Assistance:** $500,000 to $2,000,000; $800,000.

**PROGRAM ACCOMPLISHMENTS:** Complete information is not available on all of the various project categories funded from this account. However, some of the major accomplishments include the following: Targeted Outreach projects placed 12,000 minority and women trainees into skilled jobs in fiscal year 1980. A reduced number of placements is projected for fiscal year 1981; National OJT projects trained 16,000 persons in fiscal year 1980 and a reduced number is projected for fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Governing regulations are found at 20 CFR 690. Also see CETA Forms Preparation Handbook, available from Headquarters Office listed below and ETA regional offices. Notices of soliciting grant applications are published from time to time in the Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Administrator, Office of National Programs, Employment and Training Administration, Department of Labor, 601 D St., N.W., Washington, DC 20213. Telephone: (202) 376-6225. Contact: Charles Kane.

**RELATED PROGRAMS:** 17.201, Apprenticeship Training; 17.230, Migrant and Seasonal Farmworkers; 17.232, Comprehensive Employment and Training Programs; 17.234, Employment and Training—Indians and Native Americans; 17.235, Senior Community Service Employment Program.

**EXAMPLES OF FUNDED PROJECTS:** $500,000 grant to a national nonprofit organization to train and place in jobs 500 handicapped persons at 10 locations across the country, with the cooperation of business and industry. $640,000 contract renewal with trade association to train 687 persons (at least 50 percent minority, 20 percent women, 15 percent veterans and handicapped) on the job in member plants in 27 States. $3.5 million contract with national community based organization to continue training and technical assistance for employment and training projects operated by its 130 local affiliates. $1.6 million contract renewal with regional labor union council to provide 770 on-the-job training opportunities to 770 disadvantaged persons, with the cooperation of employers who have collective bargaining agreements with member unions.

**CRITERIA FOR SELECTING PROPOSALS:** Solicited Proposals - ETA will furnish information on selection criteria in the solicitation and other appropriate media. Unsolicited Proposals - Interested organizations should be aware of the following: (i) The amounts available for financing unsolicited proposals and applications is extremely limited. Ordinarily, funds are available for financing unsolicited proposals only as a result of spending at lower levels than those anticipated in the ETA annual funding plan. (ii) Projects which would be operated in a single State usually are assigned a very low priority and projects which would be operated within a single CETA prime sponsor jurisdiction usually receive no priority. (iii) In order to get active consideration, a proposed project must demonstrate a strong and immediate focus on equipping unemployed, underemployed, and disadvantaged persons with skills and abilities specifically related to successful participation in the labor market, or it must otherwise clearly contribute to the accomplishment of the purposes of the Act. Proposals for funding projects which would only indirectly or incidently provide persons eligible for services under the Act with work-related skills, abilities, and opportunities will not be seriously considered. (iv) Proposals are usually deemed more attractive to the extent that they ensure that eligible individuals will have direct access to unsubsidized, stable, well-paying, and upwardly mobile jobs in the private sector. (v) Projects are usually deemed more attractive to the extent that they address the employment-related needs of groups with extremely severe problems in the labor market such as handicapped persons, offenders, and others who face formidable barriers to employment.

### 17.245 TRADE ADJUSTMENT ASSISTANCE—WORKERS

**FEDERAL AGENCY:** EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Title II of Trade Act of 1974, Public Law 93-618, 88 Stat. 1979, 19 U.S.C. 2271-2322, as amended by Title XXV of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To provide adjustment assistance to workers adversely affected by increased imports of articles like or directly competitive with articles produced by such workers' firm.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Local Employment Security Office is reimbursed to the extent that it provides to eligible workers testing, counseling, training, and job placement services, and weekly trade readjustment allowances which the worker might not otherwise be eligible for following the exhaustion of State unemployment insurance and extended benefits. Eligible applicants may also apply for job search and relocation allowances. Subsistence and transportation allowances are paid only to defray the actual cost of same when applicant is attending training not within commuting distance of a worker's regular place of residence.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A petition for a certification of eligibility to apply for adjustment assistance must be filed with the Secretary of Labor by a group of three or more workers or by their certified or recognized union or other duly authorized representative. Notice of such filing shall be promptly published in the Federal Register. Within ten(10) days after publication, the petitioner or any other person, found by the Secretary to have a substantial interest, may request a hearing and be afforded the opportunity to be present, to present evidence and to be heard. Not later than sixty (60) days after receipt of a petition, the Secretary shall determine whether the petitioning group meets the requirements and may issue a certification of eligibility to apply for adjustment assistance. To be eligible to apply for adjustment assistance, it must be determined that 1) a significant number or proportion of workers in such workers' firm, or subdivision of the firm, have become totally or partially separated, or are threatened to become totally or partially separated 2) sales or production, or both, of such firm have decreased absolutely and 3) for petitions filed after February 8, 1982, increases of imports like or directly competitive with articles produced by such workers' firm, were a substantial cause (increased imports must contribute not only importantly but also no less importantly than other cause) of such total or partial separation, or threat thereof, and to such decline in sales or production.

**Beneficiary Eligibility:** Applicant must (A) be found by the Labor Department to have been adversely affected by imports, (B) be certified by the Secretary of Labor as eligible to apply for adjustment assistance, and (C) meet the following individual requirements: (1) His or her unemployment or underemployment must have begun on or after the impact date specified in the Certification as the beginning of the import-caused unemployment or underemployment; (2) his or her unemployment must begin within a two-year period following the date on which the Secretary issued the Certification for his or her group; (3) or before the termination date, if any, specified in the Certification; (4) he or she must have been employed at a minimum of $30 per week by the import-affected firm for at least 26 of the previous 52 weeks including the week of total layoff from a single firm or subdivision. Up to seven weeks of disability and other employer authorized leave may be counted as qualifying weeks of employment.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** To apply for worker adjustment assistance under the Trade Act of 1974, a "Petition for Adjustment Assistance" or a "Solictud de Asistencia Para Ajute" must be filed directly with the Department of Labor. Copies of these forms are available through State employment security agencies or from the Headquarters Office listed below.

**Award Procedure:** A Certification of Eligibility to apply for adjustment assistance may be issued by the Secretary of Labor to groups of workers who have been found, by the Department of Labor, to have met the requirements concerning import-generated separations from employment. Individual workers covered by the certification can apply to the local office of their State employment security agency for individual determinations of eligibility to receive benefits.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** (1) The Labor Department's investigation of a petition is completed and a certification either issued or denied within 60 days after filing of the petition.

**Appeals:** There are two courses of appeal, one administrative and the other judicial. Petitioners aggrieved by a final determination by the Secretary may, within 30 days, after notice of such determination file an application for reconsidertion with the Office of Trade Adjustment Assistance. If the determination following reconsideration is negative, they may, within 60 days after notice of the negative determination upon reconsideration, file a petition for review of such determination with the United States Court of International Trade in New York City. Aggrieved petitioners may take the course of judicial appeal without first seeking administrative reconsideration.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Cash trade readjustment allowances become payable only after workers have exhausted their entitlement to State unemployment compensation including extended benefits. The maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment benefits cannot exceed 52 weeks except that up to 26 additional weeks may be paid to workers on approved training.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0326-0-1-603.

**Obligations:** (Benefit payments) FY 81 $1,440,049,000; FY 82 est $143,000,000; and FY 83 est not presently available.

**Range and Average of Financial Assistance:** Weekly allowance payments are the same as the amount of weekly state unemployment benefits.

**PROGRAM ACCOMPLISHMENTS:** Through January 1982, the Department of Labor issued certifications in 3,860 cases involving 1,321,689 workers.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 29 CFR 90 and 91.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional offices of the Employment and Training Administration, Department of Labor and local offices of affiliated State employment security agencies.

**Headquarters Office:** Marvin Fooks, Director, Office of Trade Adjustment Assistance, Employment and Training Administration, Department of Labor, 601 D St., N.W., Rm. 10,400 Washington, DC 20210. Telephone: (202) 376-6896. Contact: Marvin Fooks.

**RELATED PROGRAMS:** 61.001, Import Relief (Industry).

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.301 EQUAL EMPLOYMENT OPPORTUNITY BY FEDERAL CONTRACTORS AND FEDERALLY ASSISTED CONSTRUCTION CONTRACTORS

## (OFCCP)

**FEDERAL AGENCY:** OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAMS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Executive Order 11246, September 24, 1965, amended by Executive Order 11375, October 13, 1967 and Executive Order 12086, October 5, 1978; Section 503 of the Rehabilitation Act of 1973, Public Law 93-516; Section 402 of the Vietnam Era Veterans's Readjustment Assistance Act of 1974, Public Law 93-508.

**OBJECTIVES:** To assure equal employment opportunity in the performance of Federal contracts and subcontracts.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Setting policy, monitoring and evaluating the compliance of Federal contractors and subcontractors and federally-assisted construction contractors and subcontractors with respect to providing equal employment opportunities without regard to race, religion, color, sex, or national origin; insuring equal opportunity and affirmative action for handicapped persons and covered veterans, i.e., Vietnam-era or disabled veterans.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any employee, former employee, or applicant with a Government contractor, subcontractor or federally involved construction contractor who feels he or she has been the subject of discrimination because of race, color, sex, religion, national origin, handicap or veteran status. Program benefits are available to applicants and employees of Federal contractors performing work in the United States, the Commonwealth of Puerto Rico, the Panama Canal Zone, and the possessions of the United States. Applicants and employees who were recruited in the United States by Federal contractors performing work outside of the United States are also covered.

**Beneficiary Eligibility:** Employees, former employees, or applicant with a Government contractor, subcontractor or federally involved construction contractor.

**Credentials/Documentation:** None for Executive Order or handicapped regulations; Veterans need DD 214 (discharge) and certification of handicapped status if handicapped.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Any person seeking information or wishing to file a complaint may contact the nearest office of the Employment Standards Administration. Complaints are forwarded to the appropriate office for processing. Complainants who submit incomplete information will be requested to make additional submittals, and must do so within 60 days of the request.

**Award Procedure:** Not applicable.

**Deadlines:** Complaint must be filed within 180 days of act of discrimination.

**Range of Approval/Disapproval Time:** Under the Executive Order program, complaints must be investigated within 60 days. Investigations under the veterans and handicapped programs have no time limit.

**Appeals:** Under the Executive Order program, findings of non-discrimination are subject to review by the Director of OFCCP. In the handicapped and veterans programs, complainants may request review within 30 days of the regional office decision.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0105-0-1-505.

**Obligations:** (Salaries and expenses, Labor Department only) FY 81 $49,418,000; FY 82 est $39,827,000; and FY 83 est $42,614,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Total back pay and other financial settlements during fiscal year 1981 was over $13 million affecting over 4,500 individuals. During fiscal year 1981, one company was debarred, administrative complaints were issued. Approximatley 5,655 complaints were received in fiscal year 1981. This resulted in an estimated 2,136 complaints being investigated. OFCCP's field manual has received wide distribution and acceptance, establishing clear and consistent procedures to be followed in carrying out the compliance process. On September 30, 1980, OFCCP published in the Federal Register affirmative action goals and timetables for minority participation in the construction industry. The coverage is nationwide (a first in contract compliance history for minorities) and the goals were computed for two types of geographical units, the Standard Metropolitan Statistical Area (SMSA) and the Economic Area (EA). There are 285 SMSAs and 183 EAs in the United States. Nationwide goals and timetables for women were established during fiscal year 1978. Every nonexempt Federal and federally-assisted construction contracting firm in the United States is committed to an affirmative action goal for women and minorities in its total construction workforce. A higher quality compliance review, diminishes the total number of reviews completed. However, nearly 2,500 compliance reviews were completed in fiscal year 1980. OFCCP increased this activity in fiscal year 1981 to approximately 3,135 completed reviews.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Equal Employment Opportunity, Executive Order 11246 as amended by Executive Orders 11375 and 12086; Regulations 41 CFR 60-1, Obligations of Contractors and Subcontractors; 41 CFR 60-2, Affirmative Action Programs (Revised Order 4); 41 CFR 60-3, Employee Selection Guidelines (1978); 41 CFR 60-4, Construction Contractors Affirmative Action Requirements; 41 CFR 60-20, Sex Discrimination Guidelines; 41 CFR 60-30, Rules of Practice for Administrative Proceedings; 41 CFR 60-40, Examination and Copying of OFCCP Documents; 41 CFR 60-50, Guidelines on Discrimination Because of Religion or National Origin; 41 CFR 60-250, Affirmative Action Obligations of Contractors and Subcontractors for Disabled Veterans and Veterans of the Vietnam Era; 41 CFR 60-741, Affirmative Action Obligations of Contractors and Subcontractors for Handicapped Workers; Pursuant to Executive Order 12086, 41 CFR Chapter 60, Parts 60-1, 60-2, 60-4, 60-20, 60-30, 60-40, 60-50, 60-250, and 60-741 was amended and reprinted on October 20, 1978 (43 CFR 204); Questions and Answers on the Federal Executive Agency Guidelines on Employee Selection Procedures (12/30/77). There is no charge for these materials.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for addresses and areas of jurisdiction or regional and area offices of the Office of Federal Contract Compliance Programs, listed under the Employment Standards Administration.

**Headquarters Office:** Director, Office of Federal Contract Compliance Programs, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 523-9475. Contact: Ellen M. Shong.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 16.101, Equal Employment Opportunity; 17.207, Employment Service; 17.244, Disabled Veterans Outreach Program; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.302 LONGSHOREMEN'S AND HARBOR WORKERS' COMPENSATION

**FEDERAL AGENCY:** OFFICE OF WORKERS' COMPENSATION PROGRAMS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Longshoremen's and Harbor Workers' Compensation Act, as extended; 33 U.S.C. 901-52, Public Law 92-576; 36 U.S.C. 501. 42 U.S.C. 1651. 42 U.S.C. 1701. 43 U.S.C. 1333; 5 U.S.C. 8171.

**OBJECTIVES:** To provide compensation for disability or death resulting from injury, including occupational disease, to eligible private employees.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** This program provides income replacement and supplement; scheduled awards for the loss of sight or hearing, dismemberment, disfigurement etc., medical expenses (including hospital care); and funeral expenses up to $1,000. Benefits are paid by private insurance carriers or self-insured employers. Appropriated Federal funds are available in certain cases of permanent total disability, and death.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Longshoreworkers, harbor workers, and certain other employees engaged in maritime employment on navigable waters of the United States and the adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of nonappropriated fund instrumentalities, employees of private employers engaged in work outside of the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under extension of the Act. Puerto Rico and the Virgin Islands are not covered by the Longshoremen's and Harbor Workers' Compensation Act.

**Beneficiary Eligibility:** Longshoreworkers, harbor workers, and certain other employees engaged in maritime employment on navigable waters of the United States and the adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of nonappropriated fund instrumentalities, employees of private employers engaged in work outside of the United States under contracts with the United States Government, and other as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under extension of the Act. Puerto Rico and the Virgin Islands are not covered by the Longshoremen's and Harbor Workers' Compensation Act.

**Credentials/Documentation:** Necessary documentation is developed when claim is contested by employer or insurance carrier. The claimant may be required to submit to physical examination.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Employee or his or her survivor files written claim for compensation (Form LS-203, LS-262 or LS-263) to the local district office of the Office of Workers' Compensation Programs (OWCP).

**Award Procedure:** Authority to adjudicate claims informally under this program rests with the Deputy Commissioners in (OWCP) district offices. Claims unresolved on voluntary basis are referred for formal hearing under the Administrative Procedure Act.

**Deadlines:** Claim must be filed within 1 year after (a) the injury or death, or (b)the last compensation payment. Time begins to run when prudent person should have been aware of relationship between injury or death and employment.

**Range of Approval/Disapproval Time:** Insurance carrier or self-insured employer must pay compensation after 14 days of having knowledge of an injury causing disability or death, or controvert claim.

**Appeals:** Application for modification of awards must be filed within 1 year after (a) the last compensation payment, or (b) rejection of a claim by an Administrative Law Judge or Deputy Commissioner of the Office of Workers' Compensation Programs. Appeals from Administrative Law Judges' decision must be filed within thirty days; Appeals from Benefits Review Board decisions must be filed within sixty days.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Injury: The period of total or partial disability with no monetary limit. Death: Spouse - until death or remarriage; children- until age 18 or to age 23 if qualified as a student as defined in the Act. Employers or their insurance carriers are required to begin compensation within 14 days of (a) knowledge of the injury or death or (b) injured employee's report of loss of wages. Payments are generally disbursed on a bi-weekly basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-1521-0-1-601.

**Obligations:** (Direct Compensation) FY 81 $3,012,000; FY 82 est $3,966,000; and FY 83 est $3,600,000.

**Range and Average of Financial Assistance:** Disability - 66-2/3 percent of average weekly wage with limit of 200 percent of national average weekly wage; Death benefits 50 percent average wages of deceased to such widow or widower, plus 16-2/3 percent for each surviving child with 66-2/3 percent limit. Average benefit unknown.

**PROGRAM ACCOMPLISHMENTS:** During a typical month in 1981, 20,637 longshore and harbor workers, District of Columbia workers in private industry, and specified other workers covered by extensions of the Act, or their survivors were receiving benefits under this Act. A total of 70,185 lost-time injuries were reported during fiscal year 1981; compensation and/or medical payments were provided in 217,000 separate cases during the same period. Estimated accomplishments for fiscal years 1982 and 1983 in these same categories are as follows: Workers or their survivors being compensated in a typical month--fiscal year 1982, 20,000 and fiscal year 1983 21,000; Total number of lost-time injuries reported--fiscal year 1982, 73,000, and fiscal year 1983 76,000; Number of cases in which compensation and/or medical payments provided--fiscal year 1982, 210,000, and fiscal year 1983, 220,500.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Longshoremen's and Harbor Workers' Compensation Act, as extended. Copies may be obtained from the Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, Washington, DC 20210. If You're Injured in the District of Columbia, DC-693; Workers' Compensation under the Longshoremen's Act, Pamphlet LS-560, $0.20. Available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Pamphlets are available in Spanish, LS-560b.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs. See Appendix IV of the Catalog for addresses and areas of jurisdiction listed under Employment Standards Administration.

**Headquarters Office:** Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, Washington, DC 20210. Telephone: (202)523-8721. Contact: Neil Montone.

**RELATED PROGRAMS:** 13.802, Social Security—Disability Insurance; 13.805, Social Security—Survivors Insurance; 13.806, Special Benefits for Disabled Coal Miners; 57.001, Social Insurance for Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.303 MINIMUM WAGE AND HOUR STANDARDS

### (Federal Wage—Hour Laws)

**FEDERAL AGENCY:** WAGE AND HOUR DIVISION, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Fair Labor Standards Act, Public Law 75-718, as amended, 29 U.S.C. 201-219; 29 CFR, Chapter V. Walsh-Healey Public Contracts Act, Public Law 74-846, as amended, 41 U.S.C. 35-45; 41 CFR 50-201 and 50-206; Service Contract Act of 1965, Public Law 89-286, as amended, 41 U.S.C. 351 et seq.; 29 CFR 4; Davis-Bacon Act, 40 U.S.C. 276a et seq., and 59 Related statutes with construction labor Standards provisions, 29 CFR 1,3,5; Contract Work Hours and Safety Standards Act, 40 U.S.C. 327 et seq.; Copeland Act, 18 U.S.C. 874 as amended 40 U.S.C. 276C; Clean Air Act, Public Law 95-95 as amended, 42 U.S,C. 7622, Section 322; Comprehensive Environmental Responsive, Compensation, and Liability Act, Public Law 96-510, 42 USC 9610, Section 110; Energy reorgaization Act, Public Law 95-601 as amended, 42 U.S.C. 5851, section 210; Federal Water Pollution Control Act, Public Law 92-500 as amended, 33 U.S.C. 1367, section 507; Safe Drinking Water Act, Public law 93-523 as amended, 42 U.S.C. 300 j-9(i), Section 1450(i); Solid Waste Disposal Act, Public Law 94-58 as amended, 42 U.S.C. 6971, Section 7001; Toxic Substances Control Act, Public Law 94-469 as amended, 15 U.S.C. 2622, Section 23. National Foundation on the Arts and Humanities Act of 1965, 20 U.S.C. 954(3) 29 CFR 505.

**OBJECTIVES:** To provide standards protecting wages of working persons by requiring a minimum hourly wage rate and overtime pay, or prevailing hourly wage rates, fringe benefits and overtime pay under the Government contract Acts. Additional standards apply to child labor, to protection of employees from discrimination for engagement in certain "whistleblower" activities and to wage payment standards for professional performers and related or supporting professional employees of productions assisted by grants from the National Endowments for the Arts and Humanities.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Federal wage and hour standards apply generally to employees engaged in interstate or foreign commerce or in the production of goods for such commerce or in enterprises so engaged. For covered employment the minimum hourly wage is $3.35 per hour (beginning January 1, 1981), with time and one-half required for hours worked over 40 in a work week. To the extent necessary to prevent curtailment of employment opportunity, certificates authorizing special minimum wage rates are issued for learners, handicapped workers, full-time students, student workers, and apprentices. Failure to comply with the child labor provisions of the Fair Labor Standards Act may result in an assessment of a civil money penalty not to exceed $1,000 for each violation. Employees of contractors performing on most federally financed or assisted construction projects, or providing services under contract to Federal agencies, are subject to special standards. These special standards require that employees receive no less than the wages and fringe benefits prevailing in the locality as determined by the Secretary of Labor, and that overtime compensation after 8 hours a day or 40 hours a week be paid. The standards apply to performance on direct Federal contracts and also to most construction projects financed in whole or in part by the Federal Government (e.g., projects under the State and Local Fiscal Assistance Act of 1972 and National Housing Act). For Federal and federally assisted construction contracts over $2,000 and Federal service contracts over $2,500 subject to prevailing wage requirements, contracting agencies must request a wage determination from the Wage and Hour Division. Employees working on Federal contracts in excess of $10,000 calling for the manufacture or furnishing of supplies are required to be paid not less than the Federal minimum wage and overtime pay after 8 hours a day or 40 hours a week. An employee is protected from discharge or other forms of discrimination under the so-called "whistleblower" provisions of several environmental impact laws, where the employee testifies in or otherwise assists a proceeding or other investigation of a violation of one of these statutes. A protected employee may obtain reinstatement to the former position and/or other forms of redress. Labor standards are set under the Arts and Humanities Act which require the payment of the prevailing minimum compensation as determined by the Secretary of Labor to each of the professional performers or supporting professional personnel who work on projects or productions assisted by grants from the National Endowments for the Arts and Humanities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any covered employee, unless specifically exempt, is entitled to be paid in accordance with applicable monetary standards in the United States, District of Columbia, Puerto Rico, Virgin Islands, American Samoa, Guam, Wake Island, Eniwetok Atoll, Kwajalein Atoll, Johnston Island, and the Outer Continental Shelf Lands defined in the Outer Continental Shelf Lands Act. (Geographic application varies under the respective statutes and eligibility is dependent upon specific statutory language). For U.S. supply contracts over $10,000, contractor must be eligible as a manufacturer or regular dealer (41 CFR 50-201.101).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting additional information concerning these standards, are encouraged to write, telephone, or visit the nearest Wage and Hour Division Office listed in Appendix IV of the Catalog. Information should be provided describing the type of business and the nature of the work performed. Unless otherwise authorized, the names of persons making inquiries are kept confidential to the maximum extent possible under existing law. For Federal construction contracts or Federal service contracts subject to prevailing wage requirements, the contracting agency must request a wage determination from the Wage and Hour Division. The wage determination must be furnished to bidders and is made a part of the contract along with certain contract stipulations.

**Award Procedure:** Not applicable.

**Deadlines:** For most of the Acts, 2 year statute of limitations applies to the recovery of back wages; in the case of willful violations a 3 year limitation applies. A 30 day time limit applies to the filing of complaints and subsequent period for completing the investigation under the whistleblower statutes.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable. An appeal process is available where child labor civil money penalties are assessed, and under the whistleblower statutes.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Federal and federally-assisted construction contractors must submit information with respect to wages paid to contracting agencies.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0105-0-1-505.

**Obligations:** (Salaries and expenses) (Does not include obligations for Wage Garnishment and Farm Labor Contractor Registration.) FY 81 $62,711,000; FY 82 est $60,631,000; and FY 83 est $66,788,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 396,659 employees were found to be underpaid in minimum wages and 291,812 employees in overtime compensation for a total of $127,434,000. Additionally, employers agreed to restore $83,586,000 in back wages illegally withheld to 325,172 employees under minimum wage and 250,652 employees in overtime compensation. There were 54,180 employees underpaid a total of $16,318,764 under the Government contract laws, $11,521,230 was recovered for 45,565 of these employees. Also, 13,835 minors were found to be illegally employed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publications furnished free in limited quantities: "Handy Reference Guide to the Fair Labor Standards Act," "A Guide to the Walsh-Healey Public Contracts Act," "Guide to the Service Contract Act," "Your Rights as an Employee on a Federal or Federally-Financed Construction Job." Additional technical and nontechnical materials, including a 10-minute film entitled "Do You Know Your Rights," are also available at no cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons requesting information or publications should contact the nearest office of the Wage and Hour Division, listed in the telephone directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest area office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

**Headquarters Office:** Administrator, Wage and Hour Division Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202)523-8305. Contact: William M. Otter.

**RELATED PROGRAMS:** 17.201, Apprenticeship Training; 17.203, Certification for Immigrant Workers; 17.306, Consumer Credit Protection; 17.308, Farm Labor Contractor Registration.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.306 CONSUMER CREDIT PROTECTION

### (Federal Wage Garnishment Law)

**FEDERAL AGENCY:** WAGE AND HOUR DIVISION, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Consumer Credit Protection Act, Public Law 90-321, 15 U.S.C. 1671-1677, as amended by Public Law 95-30.

**OBJECTIVES:** To provide restrictions on the amount of an employee's wages or salary which may be garnished, and prohibit employers from discharging employees by reason of garnishment for any one indebtedness.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The general rules for applying the Federal restrictions on garnishment, effective January 1, 1981, are: (1) If an individual's weekly disposable earnings are $100.50 or less, no amount may be garnished; if the weekly disposable earnings are more than $100.50 but less than $134.00 only the amount in excess of $100.50 may be garnished; if the weekly disposable earnings are in excess of $134.00 or more 25 percent of disposable earnings may be garnished. The Act, as amended, limits court orders for the support of any person to 50 percent of the disposable earnings of an individual having a second spouse or dependent children and to 60 percent of disposable earnings if not supporting a second spouse or dependent children plus an additional 5 percent in each situation if there are outstanding arrearages over twelve weeks old. The order must be issued by a court of competent jurisdiction or in accordance with an administrative procedure, which is established by State law, which affords substantial due process, and which is subject to judicial review. The restrictions do not apply under Federal bankruptcy proceedings for wage-earners, nor do they apply to debts due for State or Federal taxes. In addition, garnishments issued under the laws of any State may be exempted from the operation of the Federal law where the Secretary of Labor determines that such laws provide substantially similar restrictions. Under no circumstances may an employee be discharged from employment by reason of garnishment for any one indebtedness, although State laws may provide additional protection.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person whose earnings have been subjected to garnishment is entitled to the protection provided by the Act in the United States, the District of Columbia, Puerto Rico, the Virgin Islands; Outer Continental Shelf lands defined in the Outer Continental Shelf Lands Act (chapter 345, 67 Stat. 462); American Samoa, Guam, Wake Island; Eniwetok Atoll; Kwajelein Atoll; Johnston Island; and the Canal Zone. Under the law, earnings are defined as compensation paid or payable for personal services, whether denominated as wages, salary, commission, bonus or otherwise, including periodic payments pursuant to a pension or retirement program.

**Beneficiary Eligibility:** Any person whose earnings have been subjected to garnishment.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Persons seeking advice or assistance concerning the application of the Federal wage garnishment law to specific situations, including persons seeking remedy to an illegal action under the law, should contact the nearest office of the Employment Standards Administration Wage and Hour Division. Unless otherwise authorized, the names of persons making inquiries are kept confidential to the maximum extent possible under existing law.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0105-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $17,000; FY 82 est $17,000; and FY 83 est $17,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Joint agreements to refer inquiries, complaints and leads have been entered into by the Employment Standards Administration and the Federal Trade Commission.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publications furnished free in limited quantities: Pamphlet: The Federal Garnishment Law, Basic Information. Regulations, Part 870, Restriction on Garnishment. (29 CFR).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local offices of the Employment Standards Administration, Wage and Hour Division, are listed in the telephone directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest area office of the Employment Standards Administration, Wage and Hour Division, listed in the Appendix IV of the Catalog.

**Headquarters Office:** Administrator, Wage and Hour Division, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 523-8305. Contact: William M. Otter.

**RELATED PROGRAMS:** 13.678, Consumer Affairs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.307 COAL MINE WORKERS' COMPENSATION

### (Black Lung)

**FEDERAL AGENCY:** OFFICE OF WORKERS' COMPENSATION PROGRAMS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Federal Mine Safety and Health Act of 1977 as amended, Public Laws 92-303, 95-239 and 97-119 (1981 amendments).

**OBJECTIVES:** To provide benefits to coal miners who have become totally disabled due to coal workers' pneumoconiosis (CWP), and to widows and other surviving dependents of miners who have died of this disease, or who were totally disabled from the disease at the time of death.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Monthly cash benefits are paid to coal miners disabled from CWP and to widows and other survivors of miners who have died of this disease. There are no restrictions on the use of these benefits by a beneficiary. Medical payments for treatment related to CWP are available to miners only after January 1, 1974.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The miner (including workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the nation's coal mines and become "totally disabled" (as defined in the Act) from CWP. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under section 203(b) through (1) of Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners totally disabled from or whose death resulted from coal miners pneumoconiosis are also eligible for benefits. Applicants can reside anywhere in the world at the time they apply.

**Beneficiary Eligibility:** Disabled coal miners, widows and other surviving dependents of the deceased.

**Credentials/Documentation:** Medical tests, which include an X-ray, pulmonary function study, physical examination, and blood gas tests. Proof of work in or around a coal mine or coal preparation facility. Also proof of death, relationship and dependency required for widows and other survivors applying. Identification of a responsible mine operator is made as specified in regulations published in Federal Register (FR 78-36801).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Telephone, write-in, or visit the local Social Security Administration or local Mine Worker's Compensation district offices listed in Appendix IV of the Catalog.

**Award Procedure:** After review of the application is completed, the applicant will be notified by mail.

**Deadlines:** A miner must file a claim for benefits within 3 years after a medical determination of total disability due to CWP or within 3 years after the date of enactment of Public Law 95-239 (Black Lung Benefits Reform Act of 1977). There are no time limitations for dependent survivors to file claims.

**Range of Approval/Disapproval Time:** 6 months to 2 years depending on availability of supporting evidence.

**Appeals:** Notify Office of Workers' Compensation Programs (OWCP) Employment Standards Administration. The appeal process includes informal conferences, formal hearings, Benefits Review Board consideration, and review by Federal courts, as appropriate.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** The period of total disability with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined by the Act unless under a disability as defined in Section 223(d) of the Social Security Act, 42 U.S.C. 423(d). Employers or their insurance carriers are required to begin compensation within 30 days of the initial determination of eligibility. Payments are disbursed on a monthly basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in an eligibility requirement or in a factor affecting the amount of benefits, such as, State workers' compensation awards, or change in status of a dependent, must be reported to OWCP when it occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8144-0-7-601.

**Obligations:** (Benefits) FY 81 $644,288,000; FY 82 est $548,526,000; and FY 83 est $463,455,000.

**Range and Average of Financial Assistance:** Basic monthly rate: $293.20 (claimant only). For three or more dependents, $586.40 maximum (this does not include medical services). Average is $419.60 monthly.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, almost 69,200 Black Lung Claims were processed to initial finding and $644,288,000 in benefits were paid to approximately 201,968 claimants. In fiscal year 1982, it is anticipated that 7,500 claims will be processed to initial findings and $548,526,000 in benefits will be paid to 201,300 claimants. Approximately $463,455,000 in benefits payments to 191,340 claimants are projected for fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Code of Federal Regulations, Title 20, Parts 410.401 et seq., 718, 722, 725, 726, 727, 730(proposed) 801. "Questions and Answers about the Black Lung Program" (Pamphlet CM-2). "Black Lung Benefits" (Pamphlet CM-7).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local Social Security Administration and local Mine Workers' Compensation district offices are listed in Appendix IV of the Catalog.

**Headquarters Office:** Division of Coal Mine Workers' Compensation, Office of Workers' Compensation Programs, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 523-6692. Contact: James Yocom.

**RELATED PROGRAMS:** 13.802, Social Security—Disability Insurance; 13.805, Social Security—Survivors Insurance; 13.806, Special Benefits for Disabled Coal Miners.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.308 FARM LABOR CONTRACTOR REGISTRATION

### (Crew Leader)

**FEDERAL AGENCY:** WAGE AND HOUR DIVISION, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Farm Labor Contractor Registration Act as amended, Public Law 94-561, 90 Stat. 2643.

**OBJECTIVES:** To regulate farm labor contractors and thereby provide certain legal protections to the users of the contractor's services, the worker employed in agriculture, and farm labor contractor.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The program provides (among other things) for recordkeeping by the contractor, compliance with Federal and State safety and health housing standards, and prohibits the knowing employment of illegal aliens. It requires that contractors obtain motor vehicle liability insurance and that they insure the migrant worker and his personal property against injury or damage arising out of an automobile accident. Contractors must also comply with the applicable regulations of the U.S. Department of Transportation, Bureau of Motor Carrier Safety. Any persons who, for a fee, either for himself or on behalf of another person, recruits, solicits, hires, furnishes, or transports migrant workers (excluding members of his immediate family) for agricultural employment, must register under the Act, unless qualified for specific exemptions. Persons having knowledge of any practices or omissions which are not in compliance with the requirements of the Act, and persons requesting additional information concerning the Act are encouraged to write, telephone or visit the nearest State employment service office or the nearest Wage and Hour Division Office listed the Appendix IV of the Catalog. Information should be provided describing the type of business activity and the nature of the work performed. The names of persons making inquiries are treated in complete confidence. Users of the services of a farm labor contractor are prohibited from engaging the services of one who is unregistered. Failure to comply with this Act and its regulations may result in criminal prosecution, civil injunction action, civil money damages and assessment of civil penalties of up to $1,000 for each violation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Contractors and their full-time or regular employees who recruit, solicit, hire, furnish or transport migrant agricultural workers for a fee, for agricultural employment, must register with the Department of Labor.

**Beneficiary Eligibility:** Migrant workers, agricultural workers, and aliens.

**Credentials/Documentation:** Certificate of Registration or Employee Identification Card.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contractors and their full-time or regular employees who recruit, solicit, hire furnish, or transport agricultural workers for a fee, for agricultural employment, should contact the local office of the Employment Service or the nearest regional office of the Wage and Hour Division for application forms and assistance.

**Award Procedure:** Not applicable.

**Deadlines:** Certificates of registration and employee identification cards expire on December 31 of the year of issuance, unless revoked or suspended.

**Range of Approval/Disapproval Time:** Applications for certificates of registration or employee identification cards are usually processed within 2 to 3 weeks.

**Appeals:** Applicants whose applications have been denied have 20 days to request a hearing on the decision to refuse to issue.

**Renewals:** Same procedure as making initial application. When application for renewal of a valid certificate or identification card is submitted prior to November 30 for the following year, the applicant may continue to operate under the terms of the existing certificate.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A registered farm labor contractor is required to keep the Department of Labor informed of his current address and any change of vehicle used to transport workers or change of housing for workers if housing is controlled or owned by contractors.

**Audits:** Not applicable.

**Records:** In some instances, the farm labor contractor is required to keep payroll records.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0105-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $2,625,000; FY 82 est $2,473,000; and FY 83 est $2,631,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Program emphasis in fiscal year 1980 continued to be placed upon registration activities and achieving greater compliance by farm labor contractors with the provisions of the Farm Labor Contractor Registration Act. In calendar year 1981, approximately 18,700 persons were registered. Compliance actions conducted in fiscal year 1981 totaled approximately 4,600.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Above Act and 29 CFR, Part 40 and 41, contain information about the Act. Also, Publication WH. 1365, "Information for Farm Labor Contractors and Growers," is available free of charge in limited quantities.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the State Employment Office, or the nearest Wage and Hour Division Office, listed in the Appendix IV under Employment Standards Administration.

**Headquarters Office:** Administrator, Wage and Hour Division, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202)523-8305. Contact: William M. Otter.

**RELATED PROGRAMS:** 17.207, Employment Service; 17.303, Minimum Wage and Hour Standards.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.500 OCCUPATIONAL SAFETY AND HEALTH (OSHA)

**FEDERAL AGENCY:** OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Occupational Safety and Health Act, Public Law 91-596.

**OBJECTIVES:** To assure safe and healthful working conditions.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling; Dissemination of Technical Information; Training; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** (a) Advisory services and counseling for employees, employers, State and local governments concerning occupational safety and health and Federal and State programs. Unrestricted. (b) project grants to states to: (1) administer and enforce State programs for occupational safety and health, limited to states having federally approved plans. (2) collect statistical estimates of occupational injuries and illnesses. Note: Arrangements for statistical operating grants are handled for O.S.H.A. by the Bureau of Labor Statistics, Department of Labor. (c) training and related services for workers employers and their representative in recognition, avoidance, and control of unsafe and unhealthful working conditions. Unrestricted. (d) investigation of valid complaints of violations of OS&H standards. Unrestricted. (e) dissemination of technical information about OS&H to interested employees, employers, and general public. Unrestricted. (f) contracts to States and private firms for providing on-site consulative services. Unrestricted. (g) grants to private organizations to develop the capacity to train workers and employers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (a) Any employer, employee or representative concerned with OS&H problems; (b) State agencies which have federally approved occupational safety and health programs; (c) labor unions, trade associations, educational institutions and other nonprofit organizations; (d) any employee or employee representative of a business engaged in interstate commerce except those under the jurisdiction of other Federal agencies; (e) anyone concerned about the OS&H program.

**Beneficiary Eligibility:** Same as Applicant Eligibility, with the exception of (c) above, any employer, worker or their representative from a business engaged in interstate commerce except those under jurisdiction of other Federal agencies.

**Credentials/Documentation:** (a) None. (b) State agency responsible for occupational safety and health must show that its program is or will move from an at least as effective stage toward fully effective OSH program. This is accomplished by providing standards covering OS&H issues, an enforcement program for those standards, and adequate legal authority and resources to operate the program. (c) Applicants should be submitted in accordance with instructions contained in the Federal Register program announcement. (d) None. (e) None. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Regional OS&H Administration Offices provide preapplication counseling for all types of assistance. For some types of assistance, such as investigation of complaints or training grants, the applicant may be referred to area offices within the region or to the national office. Otherwise, formal request should be addressed to the Regional Office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact statement is necessary for this program.

**Application Procedure:** For all types of assistance, apply to the appropriate OS&H regional office listed in the Catalog appendix.

**Award Procedure:** (b) Final approval of requests for State grants is given by the Assistant Secretary of Labor for OS&H; (c) final approval of requests is given by the Assistant Secretary of Labor for OS&H; (a), (d) and (e) direct response is provided to requests. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** (b) 3 to 5 months for grants to states. Not applicable for other types of assistance.

**Appeals:** (b) Within 30 days after a decision on grants, a State may petition the U.S. Court for a review. (d) An employer or employee may obtain a hearing by the OS&H Review Commission on a citation as may result from an investigation of complaint by notifying the regional OS&H office within 15 working days. (a), (c) and (e) None.

**Renewals:** (b) Grants to states for administering safety programs can be renewed indefinitely provided they continue to meet the Department of Labor requirements. Applications for renewals are submitted to the regional OS&H office. Not applicable for other types of assistance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal share for each State operating and statistical grant may not exceed 50 percent of the total cost to the State. The Federal share for each State on-site consultative contract may not exceed 90 percent of the total cost to the State.

**Length and Time Phasing of Assistance:** State program grants and other types of assistance are all aspects of a continuing program. State operating grants and statistical grants are normally released under Letters of Credit for a period of 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports on grant projects will be required in accordance with the terms of the grant. Also, program administration grants entail OS&H program, statistical and financial reports.

**Audits:** Subject to audits by the Department of Labor, Office of the Inspector General, other authorized Government agencies or independent public accountants selected by DOL, conducted in accordance with the "Standards for Audit of Governmental Organizations, Programs, Activities and Functions" issued by The Comptroller General of the United States and any audit guide(s) issued by the DOL for this program.

**Records:** Grant recipients must keep complete financial records on the use of grant money for at least 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0400-0-1-554.

**Obligations:** (Grants) FY 81 $44,429,000; FY 82 est $47,238,000; and FY 83 est $51,481,000. (Salaries and expenses) FY 81 $208,854,000; FY 82 est $195,465,000; and FY 83 est $206,256,000.

**Range and Average of Financial Assistance:** A sufficient number of operating grants have not yet been awarded.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, Federal enforcement inspections totalled 57,241, and State enforcement inspections 110,500; fiscal year 1982 estimates are 52,000 Federal enforcement inspections, and 110,500 State enforcement inspections; and fiscal year 1983 estimates, 53,100 Federal enforcement inspections, 3,250 complaints, and 110,500 State enforcement inspections.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 29 CFR Parts 1901, 1902, 1950, 1951, 1952 and 1954.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:** Assistant Secretary, Occupational Safety and Health Administration, Department of Labor Washington, DC 20210. Telephone: (202)523-9361. Contract: Patrick Fahey. Telephone: (202) 523-7087.

**RELATED PROGRAMS:** 13.262, Occupational Safety and Health Research Grants; 13.263, Occupational Safety and Health—Training Grants; 17.600, Mine Health and Safety Grants; 17.601, Mine Health and Safety Counseling and Technical Assistance; 17.602, Mine Health and Safety Education and Training.

**EXAMPLES OF FUNDED PROJECTS:** See Uses and Use Restrictions.

**CRITERIA FOR SELECTING PROPOSALS:** Information not yet available.

## 17.600 MINE HEALTH AND SAFETY GRANTS

**FEDERAL AGENCY:** MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Federal Mine Safety and Health Amendments Act of 1977, Public Law 95-164.

**OBJECTIVES:** To assist States in developing and enforcing effective mine health and safety laws and regulations, to improve State workmen's compensation and occupational disease laws and programs, and to promote Federal-State coordination and cooperation in improving health and safety conditions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Provides grants for research and planning studies designed to improve workmen's compensation and occupational disease laws, assure adequate and competent staff of trained inspectors, and provide for extension and improvement of mine health and safety. Emphasis is placed on funding programs for training miners in job safety and health. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any mining State of the United States through their mine inspection or safety agency.

**Beneficiary Eligibility:** States.

**Credentials/Documentation:** State official mine inspection or safety agency has or will employ an adequate and competent staff of trained inspectors qualified under the laws of the State to make mine inspections within the State. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The application will be submitted in an original and two copies to the Assistant Secretary of Labor for Mine Safety and Health.

**Award Procedure:** Notification will be made by the Office responsible for monitoring performance. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** No later than close of business on the first day of each calendar quarter to which the application applies (July 1, October 1, January 1, April 1).

**Range of Approval/Disapproval Time:** Within 2 months.

**Appeals:** Within 30 days from the decision date an appeal may be filed with the U.S. Court of Appeals for the District of Columbia.

**Renewals:** Renewals may be made on a fiscal year basis, or a portion thereof when necessary, in the same manner as that required for the original request.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A maximum of 80 percent of the amount expended by any mining State for a fiscal year is paid from Federal funds and at least 20 percent is paid by the applicant State.

**Length and Time Phasing of Assistance:** Fiscal year basis or a portion thereof. On a cost reimbursable basis, normally quarterly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic reports shall be furnished to the Secretary of Labor stating work accomplished, benefits derived, project status, and expenditures and amounts obligated.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, activities and Functions, and for programs covered by A-102, under attachment P of that Circular. On-site audits will be made by representatives of the Secretary of Labor and the Comptroller General of the United States.

**Records:** Records relating to each grant shall be retained and made available until the expiration of 3 years after the grantees' last disbursement of such funds. Prescribed guidelines are set forth in attachment C, OMB Circular A-102 (revised).

**FINANCIAL INFORMATION:**

**Account Identification:** 16-1200-0-1-554.

**Obligations:** (Grants) FY 81 $5,842,794; FY 82 est $6,000,000; and FY 83 est not presently available.

**Range and Average of Financial Assistance:** $24,426 to $1,229,297; $158,446.

**PROGRAM ACCOMPLISHMENTS:** New and renewal grants for programs in fiscal year 1981 have been made in the following amounts: Alabama - $231,116; Arizona - $146,158; Arkansas - $151,876; Colorado $140,318; Connecticut - $15,897; Florida - $20,000; Idaho - $150,000; Illinois - $168,000; Indiana - $54,548; Iowa - $0; Kentucky - $1,158,456; Louisiana - $111,255; Massachusetts - $16,601; Michigan - $0; Minnesota - $122,064; Mississippi - $48,971; Missouri - $186,000 Montana - $37,900; Nevada - $77,958; New Hampshire - $64,762; New Jersey - $99,948; New Mexico - $66,664; New York - $0; North Carolina - $174,559; Ohio - $0; Oklahoma - $127,108; Pennsylvania - $570,664; Rhode Island - $35,234; South Carolina - $36,443; South Dakota - $71,028; Tennessee - $250,000; Utah - $210,000; Virgina - $477,984; Washington - $114,893; West Virgina - $556,664; Wisconsin - $127,437; Wyoming - $22,288.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Assistant Secretary of Labor for Mine Safety and Health, Mine Safety and Health Administration, Department of Labor, Ballston Towers No. 3, Arlington, VA 22203. Telephone: (703) 235-8264. Contacts: John C. English. Telephone: (703) 235-1515 or William Byers. Telephone: (703) 235-8264.

**RELATED PROGRAMS:** 13.262, Occupational Safety and Health Research Grants; 13.263, Occupational Safety and Health—Training Grants; 17.601, Mine Health and Safety Counseling and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** 1) Training and retraining of miners by State Instructors; 2) Funding of Pulmonary Function Laboratory to determine the extent of lung damage to coal miners; 3) Assisting States in training miners in emergency medical training; and 4) Assisting in maintaining mine rescue teams at State mine rescue stations.

**CRITERIA FOR SELECTING PROPOSALS:** Responses related to the following proposal criteria enable the applicant to show that the proposed grant is consistent with the purposes of the Act: (a) Programs, policies, and methods to be followed in administering the grant, (b) designation of the State mining agency as the sole agency with authority and responsiblity for administering the grant throughout the State, (c) assurances that such agency has an adequate and competent staff of trained and qualified inspectors, (d) use of the grant will extend and improve mine health and safety in the State while providing for no advance notice of an inspection, (e) assurances that grant will supplement not supplant existing State mine health and safety programs, (f) time period over which program will be pursued, (g) financial plan, (h) fiscal control and accounting procedures, (i) name and title of person who will direct the program, (j) approximate number of qualified personnel who will work on the program, (k) location or locations where program will be pursued, (l) assurance that matching funds from non-Federal sources will be forthcoming, (m) indication of whether the programs or any part have been or will be submitted to other organizations for the purpose of obtaining a grant, and (n) agreement that the offical State mine agency shall make required reports.

## 17.601 MINE HEALTH AND SAFETY COUNSELING AND TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Federal Mine Safety and Health Amendments Act of 1977, Public Law 95-164.

**OBJECTIVES:** To improve conditions of health and safety in and around coal, metal and nonmetallic mines and mineral facilities through technical advice, special studies, investigations, development of State mine health and safety programs, and inspections with enforcement authority.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Assistance can be used for establishing or improving State mine health and safety programs. Technical advice and assistance is available to States, organizations, companies, or persons with mine health and safety programs and/or problems.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State, organization or person interested in employing healthful and safe mine or mineral industry working conditions can apply.

**Beneficiary Eligibility:** States, organizations, individuals.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** In the form of a letter to the Mine Safety and Health Administration.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-1200-0-1-554.

**Obligations:** (Salaries and expenses) FY 81 $19,487,000; FY 82 est $23,237,000; and FY 83 est $18,932,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Technical assistance is provided to ensure safety in mines and reduce mine health hazards. Testing of equipment, evaluation of potential health hazards, determining compliance with existing standards, and dust sampling are types of assistance offered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Bureau of Mines Information Circulars; Bureau of Mines Reports of Investigations; MSHA Informational Reports.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for a list of the addresses of MSHA Field Installations. Information on health and safety programs, inspections, and enforcement should be sought from Coal Mine or Metal and Nonmetal Mine District Offices or the Headquarters Office. Technical advice can be sought from the same sources or from the Technical Support Centers.

**Headquarters Office:** Assistant Secretary of Labor for Mine Safety and Health, Mine Safety and Health Administration, Department of Labor, Ballston Towers No. 3, Arlington, VA 22203. Telephone: (703) 235-1386. Contact: Roy L. Bernard. Telephone: (703) 235-1580.

**RELATED PROGRAMS:** 13.263, Occupational Safety and Health—Training Grants; 17.600, Mine Health and Safety Grants; 17.602, Mine Health and Safety Education and Training.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.602 MINE HEALTH AND SAFETY EDUCATION AND TRAINING

**FEDERAL AGENCY:** MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:** Federal Mine Safety and Health Amendments Act of 1977, Public Law 95-164.

**OBJECTIVES:** To provide assistance to mine operators and miners in meeting the federally mandated training requirements of Public Law 95-164.

**TYPES OF ASSISTANCE:** Training; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Assistance is used primarily by mine operators who need guidance in preparation of mine training plans, and by miners who are required to be trained in certain equipment, procedures, systems, or emergency situations; advice is also provided to educational and private institutions seeking guidance or information on mandated training, or anyone who may be interested in the Federal role in mine health and safety education and training.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any mine operator or miner or their agent can request assistance and guidance under this program; also any person or organization interested in employing healthful and safe mine working conditions.

**Beneficiary Eligibility:** Mine operators, miners or their agent, oranizations and individuals.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** In form of letter to the Mine Safety and Health Administration or appropriate Health and Safety Field Installation (listed in Appendix IV of the Catalog) in your area.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-1200-0-1-554.

**Obligations:** (Salaries and expenses) FY 81 $5,696,000; FY 82 est $10,403,000; and FY 83 est $7,360,000. (FY 82 and 83 includes National Mine Health and Safety Academy)

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Education and training assistance was provided to over 20,000 coal and metal/nonmetal mines employing 500,000 miners. This assistance included training of cooperative instructors, training in accident prevention, and required training mandated by law; also included was development of curriculum materials and audio visual programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Not applicable.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Director of Education and Training, Mine Safety and Health Administration, Department of Labor, Ballston Towers No. 3, Arlington, VA 22203. Telephone: (703) 235-1480. Contact: John C. English. Telephone: (703) 235-1515.

**RELATED PROGRAMS:** 13.263, Occupational Safety and Health—Training Grants; 17.600, Mine Health and Safety Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.700 WOMEN'S SPECIAL EMPLOYMENT ASSISTANCE

### (Women's Bureau)

**FEDERAL AGENCY:** WOMEN'S BUREAU, OFFICE OF THE SECRETARY, DEPARTMENT OF LABOR

**AUTHORIZATION:** Public Law 66-259; 29 U.S.C. 11-16.

**OBJECTIVES:** To reduce discrimination in employment based on sex and race, and to enlarge economic rights and opportunities of women through the promotion of improved working conditions, expanded job opportunities, better training, improved vocational counseling and community services, and more extensive use of women's volunteer services in Federal and community programs. Special focus is on establishing direct linkages with women's organizations and encouraging the development of programs to assist minority, mature, low-income, young, and rural women; women business owners; and women offenders. Another major effort is to encourage the movement of women into nontraditional jobs, and their advancement to more skilled and responsible jobs in the economy.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides informational, technical, and advisory services to assist in enlarging the contribution and participation of women in the workforce. The Bureau also works to improve legislation related to equal rights for women in employment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual or group located in the United States or its Territories.

**Beneficiary Eligibility:** Individuals (particularly women) and groups.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Requests for information or advice may be made to the appropriate Women's Bureau regional office listed in the Appendix IV of the Catalog, or to the Headquarters Office.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0105-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $3,381,000; FY 82 est $3,569,000; and FY 83 est $3,594,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the Bureau responded to numerous requests for technical and advisory services and information.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publications of the Women's Bureau: "A Working Woman's Guide to Her Job Rights;" "Women in Apprenticeship: There's a Future In It;" Job Options for Women in the 1980's;" "Women in Management;" "The Women Offender Apprenticeship Program: From Inmate to Skilled Craft Worker;" "Employers and Child Care: Establishing Services Through the Workplace."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest Women's Bureau regional office listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, Women's Bureau, Office of the Secretary, Department of Labor, Washington, DC 20210. Telephone: (202) 523-6611. Contact: Ella Green. Telephone: (202) 523-6653.

**RELATED PROGRAMS:** 13.646, Work Incentive Program; 16.101, Equal Employment Opportunity; 17.232, Comprehensive Employment and Training Programs; 17.303, Minimum Wage and Hour Standards; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT

## 17.800 EXEMPLARY REHABILITATION CERTIFICATES

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR VETERAN'S EMPLOYMENT, DEPARTMENT OF LABOR

**AUTHORIZATION:** Public Law 89-690, 10 U.S.C. 1571 et seq.

**OBJECTIVES:** To award exemplary rehabilitation certificates by the Secretary of Labor to ex-servicepersons separated from the Armed Forces under conditions other than honorable if it is established that such person has been self-rehabilitated.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Certificate provides tangible evidence of rehabilitation, since discharge, to present to an employer. Certificate does not in any way change the nature of original discharge or alter ex-serviceperson's eligibility for veterans benefits. Provides for the certification that persons separated from the Armed Services under conditions other than honorable have rehabilitated themselves and that their conduct has been exemplary for at least the 3 year period immediately preceding the date of application.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any ex-serviceperson who received a less than honorable or a general discharge at least 3 years prior to the date of the application. Residents of all States and Territories are eligible.

**Beneficiary Eligibility:** Ex-servicepersons.

**Credentials/Documentation:** Application form, with self certification signed by applicant as to truth and accuracy of information. A photostatic copy of the last separation document (Form DD214 copy 4) are required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Application packets including required forms and instruction sheets available upon request from Department of Labor, Office of the Assistant Secretary for Veterans Employment, Veterans Employment Service, 200 Constitution Ave., NW, Washington DC 20210.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 4 to 6 weeks after receipt of completed application.

**Appeals:** When the Assistant Secretary has reason to deny an application, the applicant is notified of the proposal to deny and has 30 days to give reasons why the proposed denial would be improper. Any applicant denied a certificate by the Assistant Secretary of the Employment and Training Administration may appeal to the Secretary of Labor. Applicant may reapply for a certificate at any time he or she feels that his or her character, conduct, activities, and habits have been exemplary for a 3-year period.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0172-0-1-504.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** There were 345 requests for applications received during Calendar Year 1981. There were 314 completed applications received and 78 individuals were awarded certificates.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Further information may be found in 29 CFR 26 and "Exemplary Rehabilitation Certificate-How to Apply," (GPO No. 878-633) available from the Veterans Employment Service, Office of Assistant Secretary for Veterans Employment, Department of Labor, Rm. S-1316, 200 Constitution Ave., NW, Washington, DC 20210.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest regional Employment and Training Administration office listed in Appendix IV of the Catalog.

**Headquarters Office:** Veterans Employment Service, Office of the Assistant Secretary for Veterans Employment, Department of Labor, Rm. S-1316, 200 Constitution Ave., N.W. Washington, DC 20210. Telephone: (202) 523-9110. Contact: Ralph E. Hall.

**RELATED PROGRAMS:** 17.207, Employment Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 17.801 DISABLED VETERANS OUTREACH PROGRAM

## (DVOP)

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR VETERAN'S EMPLOYMENT, DEPARTMENT OF LABOR

**AUTHORIZATION:** 38 U.S.C., 2003A.

**OBJECTIVES:** To provide job and job training opportunities for disabled and other veterans through contacts with employers, promote and develop OJT and apprenticeship and other on-the-job training positions within VA programs, provide outreach to veterans through all community agencies and organizations, provide assistance to community-based organizations and CETA prime sponsors, provide outreach assistance to local employment service offices, develop linkages with other agencies to promote maximum employment opportunities for veterans, and promote entry-level and career job opportunities for veterans, and to provide job placement, counseling, testing, job referral to eligible veterans, especially disabled veterans of the Vietnam era.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Disabled Veteran Outreach Specialists shall be assigned only those duties directly related to meeting the employment needs of eligible veterans.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals, State and local governments. For appointment to a position of DVOP Specialist, preference shall be given to disabled veterans of the Vietnam era, other disabled veterans, other veterans, in that order (38 U.S.C. 2003A(a)(2)).

**Beneficiary Eligibility:** Veterans.

**Credentials/Documentation:** DD Form 214 copy 4 attesting to honorable military service; VA certification of type and degree of disability to permit consideration for DVOP Specialist appointments at State levels.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Application information is available from each State ES/JS administrator.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Contingent upon vacancies - funding constraints.

**Appeals:** Through normal State Merit System Procedures.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Proposed to be implemented in FY 1982.

**Audits:** Not applicable.

**Records:** To be maintained in accordance with DOL and SESA procedures.

**FINANCIAL INFORMATION:**

**Account Identification:** To be established.

**Obligations:** (Grants) Not separately identifiable. The Secretary of Labor shall make available to each State directly or by grant or contract, such funds as may be necessary to support a disabled veteran's outreach program. (38 U.S.C. Section 2003A(a)(1)).

**Range and Average of Financial Assistance:** The Secretary of Labor shall make available to each State directly or by grant or contract, such funds as may be necessary to support a disabled veteran's outreach program. (38 U.S.C. Section 2003A(a)(1)).

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, DVOP Specialists contributed significantly to job placement of more than 30,000 disabled veterans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 38, United States Code, Section 2003A and DOL instructions issued to implement the Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Veterans Employment Service, Office of the Assistant Secretary for Veterans Employment, Department of Labor, Rm. S-1316, 200 Constitution Ave., N.W., Washington, DC 20210. Telephone: (202) 523-9110, Contact: Ralph E. Hall.

**RELATED PROGRAMS:** 17.207, Employment Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# DEPARTMENT OF STATE

## OFFICE OF THE LEGAL ADVISOR

### 19.200 CLAIMS AGAINST FOREIGN GOVERNMENTS

### (International Claims)

**FEDERAL AGENCY:** OFFICE OF THE LEGAL ADVISER, DEPARTMENT OF STATE

**AUTHORIZATION:** Authority to act is based upon the powers and duties delegated to the President under Section 3 of Article II of the Constitution of the United States and therefrom to the Secretary of State. There is no statute.

**OBJECTIVES:** To obtain settlements of all legally valid claims of nationals of the United States against foreign governments. A claim may result from any one of a number of situations in which a national of the United States may be injured by a foreign government in violation of international law. It can, for example, be based upon a taking of property without payment of prompt, adequate and effective compensation; other acts or omissions of governmental organs incompatible with international obligations; acts of individuals, insurgents and mobs under circumstances establishing a lack of due diligence on the part of government officials, etc.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The Government of the United States, at the discretion of the Secretary of State, will act on behalf of U.S. nationals in attempting to settle claims against foreign governments. Assistance is not available: (1) to non-nationals, (2) in cases where there has not been an exhaustion of all local administrative or judicial remedies with a resulting denial of justice, or (3) where the respondent government is not responsible under international law. If the claim is found to be valid by the State Department and the Secretary of State chooses to back the claim, the claimant will be informed as to how the claim should be prepared and documented. The State Department, using the documentation prepared by the claimant, would then act on behalf of the claimant in pressing for settlement. Settlements (compensation or restitution) result either from direct negotiation through diplomatic channels or from arbitration, which lead to payment by the foreign government.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An applicant must have been a United States national at the time the claim arose and must show international responsibility of the respondent government.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The claimant must furnish evidence establishing his United States nationality, the principle(s) of international law giving rise to an obligation on the part of the foreign government, and the facts and circumstances of the case.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Potential applicants are invited to discuss possible claims prior to submitting documentation.

**Application Procedure:** Initial inquiries relating to claims based upon loss of or damage to property should include the following information: (1) date and manner in which claimant became a national of the United States; (2) full description of the property in question and its exact location when loss occurred; (3) date and manner of acquisition of claimant's ownership of the property or other interest therein; (4) the action taken against the property which is considered as giving rise to a claim against a foreign government; (5) identification of laws, decrees, governmental agencies and officials taking the property, and the date the action was taken; (6) the nature and amount of damage. Initial inquiries relating to claims based upon personal injury or loss of life should include a statement of facts relating to: (1) American nationality of the claimant, unless claim is based upon loss of life in which case the American nationality of both the claimant and the deceased must be established, (2) the relationship of the claimant to the deceased in death cases; (3) time, place, and circumstances under which the injury or death occurred, including the identity of persons, officials, or agencies causing the injury or death, and (4) nature and extent of damages sustained.

**Award Procedure:** The Secretary of State, acting in behalf of the claimant, will make the final determination. If the Secretary of State chooses to represent the claimant, the claimant will be informed of how to prepare the case. Actual payments of claims are the responsibility of the respondent government, not the State Department.

**Deadlines:** Unlimited, unless provisions of international law establish limits on the time allowed for filing a particular claim (laches).

**Range of Approval/Disapproval Time:** Requests for assistance are acknowledged immediately.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Unlimited.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 19-0113-0-1-153.

**Obligations:** Not applicable.

**Range and Average of Financial Assistance:** Unlimited.

**PROGRAM ACCOMPLISHMENTS:** From calendar year 1967 to June 30, 1981, $51.96 million was collected from foreign governments and remitted to U.S. nationals in settlement of legally valid claims.

**REGULATIONS, GUIDELINES, AND LITERATURE:** International law defines available compensation or restitution, as well as procedures for making claims.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Thomas T.F. Huang, Assistant Legal Adviser for International Claims and International Property and Investment Disputes, Office of the Legal Adviser, Department of State, Washington, DC 20520. Telephone: (202) 632-1367.

**RELATED PROGRAMS:** 11.410, Fishermen's Guaranty Fund; 19.201, Protection of Ships From Foreign Seizure.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 19.201 PROTECTION OF SHIPS FROM FOREIGN SEIZURE

### (Fishermen's Protective Act)

**FEDERAL AGENCY:** OFFICE OF THE LEGAL ADVISER, DEPARTMENT OF STATE

**AUTHORIZATION:** Public Law 83-680 approved August 27, 1954, as amended by Public Law 90-482, approved August 12, 1968 and Public Law 92-569, approved October 26, 1972; 68 Stat. 883; 22 U.S.C. 1971 et seq.

**OBJECTIVES:** To reimburse a financial loss to owners of vessels registered in the United States for fines paid to secure the release of vessels seized for operation in waters which are not recognized as territorial waters by the United States.

**TYPES OF ASSISTANCE:** Insurance (Reimbursement).

**USES AND USE RESTRICTIONS:** Certification for reimbursement and payment by the Treasury Department of claims of owners of vessels of the United States for fines, license fee, registration fee or any other direct charge paid to a foreign government to secure the prompt release of the vessel and crew seized in waters not recognized as territorial waters by the Government of the United States. The provisions of the Act do not apply to seizures made by a country at war with the United States or a seizure made in accordance with the provisions of any fishery convention or treaty to which the United States is a party.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Owners of private vessels documented or certificated under the laws of the United States whose boats are seized in waters not recognized as the territorial waters of anotner State by the United States. Note: No registration or payment of premiums is required prior to the seizure in order to qualify for reimbursement.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Vessel owners must furnish evidence establishing: (a) documentation of seized vessel under the laws of the United States; (b) date and time of seizure and foreign government seizing vessel to obtain Department's certification to the Secretary of the Treasury of amounts actually paid to obtain the release of the vessel.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The claim shall be prepared in the form of a sworn statement, in triplicate, and shall contain in narrative form a clear chronological statement of the following facts: (a) name and address of claimant; (b) date and manner in which claimant became a national of the United States; (c) date and manner in which claimant acquired vessel or other property involved; (d) name of home port of vessel at time of seizure and date of last documentation; (e) date and time of seizure and foreign government making the seizure; (f) detailed circumstances of the seizure, including the exact place of seizure and how determined, activities of the vessel when seized, actions of the seizing vessel, etc.; (g) names of official and agency seizing the vessel and description of seizing vessel; (h) hearings afforded the captain of the vessel, defenses interposed determination of the tribunal, including the amount of the fine paid, and/or the license fee, registration fee, and other direct charges exacted as a condition of release; (i) name of agency to which amounts in item "h" paid; (j) date vessel released and date sailed; (k) nature and amount of other losses sustained as a result of the seizure.

**Award Procedure:** The Secretary of State or his designee shall, as soon as possible after ascertainment, make a certification to the Secretary of the Treasury of the amount of the fine, license fee, registration fee or any other direct charge actually paid for reimbursement to vessel owner. Upon certification, amount of reimbursement is paid by Treasury Department. Lien on Vessel: The amount of any reimbursement made by the Secretary of the Treasury to vessel owners shall constitute a lien on the vessel which may be recovered in proceedings in rem in the District Court for any district in which vessel may be found. Such lien shall terminate on the 90th day after the date on which the reimbursement check is issued unless before such 90th day the U.S. terminates the lien or initiates action to enforce the lien. The Secretary of State shall initially determine at an appropriate time before the 90th day whether to request the Department of Justice to initiate and conduct lien proceedings. Procedure to Remove Lien: Within 50 days after reimbursement by the Secretary of the Treasury, vessel owner shall submit (in triplicate) a properly prepared and documented claim to the Office of the Legal Adviser, Department of State, Washington, DC 20520. Claim may be filed by owner or his authorized agent. The State Department examines the claim and evidence and certifies its validity to the claimant and the Treasury Department, or notifies claimant of invalidity of claim. Within 15 days after Department's written notice of invalidity or insufficiency, owner or agent may submit supporting legal briefs, additional documents or evidence or request review of claim by Department.

**Deadlines:** None to obtain Department's certification for reimbursement. To remove lien created by reimbursement, owner must submit properly prepared and documented claim to the Department of State within 50 days from date reimbursement check is issued by Treasury and obtain Department certification of validity of claim. Within 15 days after the date of Department's written notification of the invalidity or insufficiency of the evidence submitted to substantiate the claim, a vessel owner may submit supporting legal briefs, additional documents or evidence, or request a review of the claim by the Department.

**Range of Approval/Disapproval Time:** 7 days or more depending upon the validity of the claim and the method and manner in which the claim is prepared.

**Appeals:** There are no appeals procedures as such. If a claim is denied, the reasons for the denial will be fully stated in a letter to the claimant. If reconsideration is desired, the claimant can request such action by letter, stating the reasons why the claim is valid.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Claim is paid in one lump sum.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-4507-0-4-376.

**Obligations:** (Claims paid) FY 81 $8,600,000; FY 82 est $10,000,000; and FY 83 est $10,000,000.

**Range and Average of Financial Assistance:** Unlimited.

**PROGRAM ACCOMPLISHMENTS:** Certified above mentioned amounts to the Department of the Treasury for payment in accordance with the provisions of the Act.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Memorandum dated December 2, 1968, containing suggestions for preparing claims and rules and regulations published in 22 CFR 86.7-86.12.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Thomas T.F. Huang, Assistant Legal Adviser for International Claims and International Property and Investment Disputes, Office of the Legal Adviser, Department of State, Washington, DC 20520. Telephone: (202) 632-1367.

**RELATED PROGRAMS:** 11.410, Fishermen's Guaranty Fund; 19.200, Claims Against Foreign Governments.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 19.202 SPECIAL DOMESTIC ASSIGNMENTS (Pearson Program)

**FEDERAL AGENCY:** OFFICE FOR LIAISON WITH STATE AND LOCAL GOVERNMENTS, DEPARTMENT OF STATE

**AUTHORIZATION:** Foreign Service Act of 1980, Section 503, Public Law 96-465, Chapter 5.

**OBJECTIVES:** The program has two primary objectives: (a) to allow State and local governments and related organizations to utilize the experience and expertise of Foreign Service Officers, and (b) to permit Foreign Service Officers at approximately mid-career to be assigned to positions with substantial program management responsibility and to become reacquainted with important domestic issues following long periods overseas and/or in Washington.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** A Foreign Service Officer may be utilized for any purpose mutually agreed upon by the Department of State and the host organization. Frequently, officers assigned under this program serve as special assistants to governors, mayors, city managers and county commissioners. They often serve in the international divisions of state departments of commerce. They have also been assigned to a state department of social services, a regional local government innovation group, a state league of towns and cities, an international trade mart and a university.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A member of the Foreign Service may be assigned for duty in the United States (or in any territory or possession of the United States including the Commonwealth of Puerto Rico) with a State or local government, a public or private nonprofit organization (including an educational institution), or a Member or office of the Congress.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Potential applicants are invited to discuss possible requests with the Office of Training and Liaison in the Bureau of Personnel prior to submitting a written proposal.

**Application Procedure:** There is no application form; an information sheet on the program is available from the Office of Training and Liaison in the Bureau of Personnel. Eligible organizations should submit their proposals in writing; two to three pages are usually adequate.

**Award Procedure:** Once the proposal is approved, the Department of State will endeavor to identify an interested and qualified officer for the position.

**Deadlines:** There is no deadline. Although assignments may be made throughout the year, most assignments will be arranged to begin in the summer months when foreign service officers normally rotate to new positions. A lead time of 8 to 12 months is normally required in order to identify and assign an appropriate officer.

**Range of Approval/Disapproval Time:** Proposals are approved or disapproved immediately. In the case of approved proposals, however, there may be a lengthy delay in identifying an appropriate officer.

**Appeals:** Not applicable.

**Renewals:** Assignments are made initially for one year. Subject to concurrence by the host organization, the Foreign Service Officer and the needs of the Department of State, the assignment may be extended for up to an additional year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For assignments begun in calendar year 1982, the host organization must reimburse the State Department $8,000 annually. (This sum may be increased slightly for assignments begun in calendar year 1983.) There are no other costs to the host organization except that it must pay for the job-related expenses of the Foreign Service Officer.

**Length and Time Phasing of Assistance:** The reimbursement to the State Department is usually paid as a lump sum, although there can be flexibility in the payment arrangement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The supervisory officer in the host organization must prepare an annual performance evaluation on the Foreign Service Officer.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 19-0113-1-1-153.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** At any one time, approximately 22 Foreign Service Officers are assigned to State and local governments and related organizations.

**PROGRAM ACCOMPLISHMENTS:** The Department of State receives more requests for the assignment of officers than it is able to fill. Eventually, however, it has been able to assign officers to more than half of the organizations which have submitted written proposals. To date, about 85 mid-career officers have been assigned to positions with State and local governments and other qualifying organizations. Job assignments have varied, but have typically involved substantial program management responsibilities, including coordination with city, county and state authorities and federal agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Additional information on the program is available from the State Department's Office of Training and Liaison in the Bureau of Personnel.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** E. Garren Smith, Program Coordinator, Training and Liaison Staff, (PER/FCA/TL), Room 2807, NS, U.S. Department of State, Washington, DC 20520. Telephone: (202) 632-3308.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Officers have been appointed as special assistants to state governors, mayors and the directors of state agencies. Officers have also been assigned to a state conference of municipalities, an association of community colleges, a regional commission, a public interest group, and an international trade mart.

**CRITERIA FOR SELECTING PROPOSALS:** The Department of State is particularly interested in assigning officers to positions which offer considerable challenge and management responsibility involving personnel, programs, or both.

# DEPARTMENT OF TRANSPORTATION

## UNITED STATES COAST GUARD

### 20.001 BOATING SAFETY

**FEDERAL AGENCY:** U.S. COAST GUARD, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Public Law 85-911; 45 U.S.C. 527 - 527h. Federal Boat Safety Act of 1971; Public Law 92-75. Act of April 1940, as amended; 46 U.S.C. 526 - 516t.

**OBJECTIVES:** To improve safe operations and uses of water craft.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** The Coast Guard Auxiliary presents to the public a variety of courses, from one to thirteen lessons, all concerned with safe boating. Courtesy Marine Examinations (CME), which are checks of a boat's safety-related equipment, are made with the owner's permission. Boats passing the CME are given a "Seal of Safety" decal indicating that at the time of the exam the boat met Federal regulations and safety-related equipment requirements of the State in which the exam was conducted and also satisfied Auxiliary requirements. If deficiencies are found, the owner is advised but no report is made to any law enforcement authority. In their own boats, Auxiliary members patrol marine regattas and parades and assist fellow boaters in distress. Since members are civilian volunteers, the thrust of their efforts coincides with the busiest boating period. Publications in boating safety and accident reporting are also available.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any U.S. citizen, 17 years of age or older, is eligible to join the Auxiliary, provided the applicant owns at least a 25 percent interest in a motor boat, yacht, aircraft, or amateur radio station, or has a special talent or skill useful in promoting boating safety.

**Beneficiary Eligibility:** Boating public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the local Coast Guard District Director of Auxiliary.

**Award Procedure:** None.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0201-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $5,367,300; FY 82 est $4,800,000; and FY 83 $5,300,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In calendar year 1981, there were 307,192 courtesy marine examinations, 463,584 public students enrolled in safe boating courses. Auxiliarists participated in 3,917 regatta patrols and 38,628 safety patrols, 19,288 assistance missions, saving 1,401 lives, assisting 56,297 persons and saving/assisting marine property valued at $1,214,304,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program literature available.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Coast Guard District Offices: Persons are encouraged to communicate with the director of Auxiliary in each district (see the Appendix for a list of the addresses of the district offices).

**Headquarters Office:** Commandant (G-BAU-1), U.S. Coast Guard, Washington, DC 20593. Telephone: (202) 426-1077 (use same 7-digit number for FTS). Contact: G.M. Chaskes.

**RELATED PROGRAMS:** 11.401, Nautical Charts and Related Data.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 20.002 COAST GUARD COOPERATIVE MARINE SCIENCES PROGRAM

**FEDERAL AGENCY:** U.S. COAST GUARD, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Act of September 25, 1961; Public Law 87-396; 14 U.S.C. 92.

**OBJECTIVES:** To provide optimum utilization of specialized Coast Guard facilities in any area where cooperative efforts may enhance the national marine sciences effort.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Space available accommodations of scientists, researchers and students on Coast Guard vessels, aircraft and stations. Joint planning of Coast Guard scientific programs with the programs of others. Coordination of non-Coast Guard scientific projects on board Coast Guard Vessels and aircraft on a "not to interfere with primary mission" basis. The only restrictions are the availability of suitable ships and aircraft and the pertinence of the project to the national program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federal, State and local governmental agencies; academic institutions; nonprofit institutions; bonafide contractors of any of the aforementioned when the work requested is in support of such a contract.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of status as student, teacher, or researcher.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal preapplication conferences are recommended.

**Application Procedure:** A letter stating the assistance sought should be sent to Coast Guard Headquarters or to the operational commander of the unit or geographic area under consideration.

**Award Procedure:** Not applicable.

**Deadlines:** There are no deadlines; however, since operational schedules are concerned, early application is strongly encouraged. Operational units should be provided 30 to 45 days notice of cruise specifications which are generated in final form as a result of the planning and coordination processes.

**Range of Approval/Disapproval Time:** Ten to 30 days following receipt of request.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Data obtained from Coast Guard vessels or aircraft while not public property, must nonetheless be considered in the public domain. Reports of the nature of the research, intended goals and actual accomplishments must be reported to the Coast Guard within 90 to 360 days following the cruise. The actual data are to be presented to the National Oceanographic Data Center or Smithsonian Oceanographic Sorting Center, as appropriate, within

90 tc 360 days following cruise completion, and the results published in scientific press.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0201-0-1-403.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, interest by various individuals for research and training assistance by the Coast Guard increased. Although Coast Guard operations did not permit approval of many projects, assistance was made available to certain government agencies and academic institutions.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available in Coast Guard reports to the marine sciences community.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the operational commander of the unit or geographic area under consideration (see the Appendix for a list of the addresses of district offices) or the headquarters office.

**Headquarters Office:** Marine Science and Ice Operations Division, U.S. Coast Guard Headquarters, Washington, DC 20593. Telephone: (202) 426-1881. Contact: Mr. R. M. Hayes. (Use same 7-digit numbers for FTS.)

**RELATED PROGRAMS:** 11.417, Sea Grant Support.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 20.100 AVIATION EDUCATION

**FEDERAL AGENCY:** FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Airport and Airway Development Act of 1970 as amended by Section 301 of Public Law 94-353, Section 21 (49 U.S.C. 1346a).

**OBJECTIVES:** Establish a civil aviation informatinon distribution program within each region of the Federal Aviation Administration.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Encouragement of the development of civil aviation education programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local school administrations, college and university officials and officers of civil and interested organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications take the form of a written or verbal request for aviation educational materials or counseling to an FAA regional office.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1301-0-1-402.

**Obligations:** (Salaries and Expenses) FY 81 $60,000; FY 82 est $60,000; and FY 83 est $60,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, distributed 750,000 pieces of aviation and career information to teachers and students. Also provided counsultant assistance to schools and colleges and participated in teacher workshops and in-service seminars.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the Aviation Information Distribution Program person at the following FAA regional offices: Public Affairs Officer, AAL-5 Federal Aviation Administration 701 C Street Anchorage, Alaska 95501; Air Transportation Security Division, ACE-700 Federal Aviation Administration 601 East 12th Street Kansas City, Missouri 64106; Planning Staff, AEA-4 Federal Aviation Administration JFK International Airport Jamaica, New York 11430; Aviation Education Specialist, AGL-17 Federal Aviation Administration 2300 East Devon Des Plaines, Illinois 60018; Public Affairs Officer, ANE-5 Federal Aviation Administration 12 New England Executive Park Burlington, Massachusetts 01803; Public Affairs Officer, ANW-5 Federal Aviation Administration Boeing V Field Seattle, Washington 98108; Public Affairs Officer, APC-5 Federal Aviation Administration Box 4009 Honolulu, Hawaii 96812; Aviation Education Coordinator, ASW-252 Federal Aviation Administration P.O. Box 1689 Ft. Worth, Texas 76101; Public Affairs Officer, ASO-5 Federal Aviation Administration P.O. Box 20636 Atlanta, Georgia 30320; Planning Staff, AWP-4 Federal Aviation Administration P.O. Box 92007, World Way Postal Center Los Angeles, California 90009.

**Headquarters Office:** Not applicable.

**RELATED PROGRAMS:** 43.001, Aerospace Education Services Project; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 20.102 AIRPORT DEVELOPMENT AID PROGRAM (ADAP)

**FEDERAL AGENCY:** FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Airport and Airway Development Act of 1970; Public Law 91-258, 49 U.S.C. 1701, as amended by Public Law 92-174, Public Law 93-44, Public Law 94-353, the Aviation Safety and Noise Abatement Act of 1979; Public Law 96-193, and Public Law 97-35, authorized grants through the end of fiscal year 1981. New legislation will be required to continue the program beyond fiscal year 1981.

**OBJECTIVES:** To assist public agencies in the development of a nationwide system of public airports adequate to meet the needs of civil aeronautics.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Grants can be made for constructing, improving, or repairing a public airport or portion thereof consisting of: (1) land acquisition, (2) site preparation, (3) construction, alteration, and repair of runways, taxiways, aprons, and roads within airport boundaries, (4) construction and installation of lighting utilities, navigational aids, and certain offsite work, (5) safety equipment required for certification of airport facility, (6) security equipment required of the sponsor by the Secretary of Transportation by rule or regulation for the safety and security of persons and property on the airport, (7) snow removal equipment, (8) noise supressing equipment, construction of physical barriers, landscaping and land acquisition for carrying out noise compatibility program, and (9) terminal development. Grants may not be made for the construction of hangars, parking areas for automobiles, or for buildings not related to the safety of persons on the airport. Technical advisory services are also provided.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State, county, municipal, and other public agencies including an Indian tribe or Pueblo are eligible for airport development grants if the airport on which the development is required is listed in the National Airport System Plan. Certain units of local governments surrounding airports may be eligible for grants associated with achieving noise compatibility with airports.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Sponsors must submit information establishing financial capability and legal authority to accomplish the project and to operate the airport. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication conference recommended but not required. Consultation and assistance available at FAA District and Regional Offices. Applications should be reviewed under the provisions of National Environmental Policy Act of 1969, 83 Stat. 852; Sec. 4(f) of the Department of Transportation Act 49 U.S.C. 1653; and Federal Aviation Regulations, 14 CFR, Part 152, environmental impact assessment report needed for some projects. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Preapplication for Federal Assistance, SF 424, Part I (facesheet) and remaining parts of FAA Form 5100-30 is filed with District Office, reviewed by Regional Office and/or Washington Office for program approval, as appropriate. Level of approval is dependent on the type of airport and amount of FAA monies requested. No State plan is required.

**Award Procedure:** Upon program approval, applicant submits project application, SF 424, Part I (facesheet) and remaining parts of FAA Form 5100-100 to District Office. Reviewed and forwarded to region. Either the District or Regional Office prepares Grant Offer, FAA Form 5100-13 for execution by FAA and applicant. Notification of award must be made to the designated State Central Information Reception Agency, and the State Clearinghouse in accordance with Treasury Circular 1082.

**Deadlines:** Published annually in the Federal Register. Normally applicants must sile prior to June 30 or any fiscal year to be considered for assistance in that year. Contact Headquarters Office for further details.

**Range of Approval/Disapproval Time:**

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For fiscal year 1981, the Federal Government share of allowable costs of airport development projects could not exceed: 75 percent for an air carrier airport (other than a commuter service airport) which enplaned one-quarter of one percent or more of all passengers enplaned at all such airports, and 90 percent for all other airports, i.e., general aviation airports, reliever airports, and commuter service airports, and air carrier airports which enplaned less than one-quarter of one percent of such passengers. The federal share of development grant to achieve noise capability was 80 percent. The Federal share for terminal development projects at air carrier airports was funded only from the airport's enplanement apportionment and no more than 60 percent of such apportionment for any fiscal year could be obligated for such projects. The Federal share of terminal development projects was be 50 percent. Rates were slightly higher in a few states containing large amounts of public lands. The program operate under a statutory formula. The statistical factors for allocation under the Air Carrier Program were derived from the number of passengers enplaned by airports during 1979, as determined by data obtained from the following sources: FAA: Commercial Operations Survey, the Immigration and Naturalization Service, and the Civil Aeronatics Board. For the General Aviation Program, the factors for allocation were 1) land area by State and 2) population by State; the source for statistical data was the 1976 Statistical Abstracts used in conjunction with the 1970 Decennial Census. There were no statistical factors used for eligibility.

**Length and Time Phasing of Assistance:** No set period of time. Assistance is released upon application for progress payments as needed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** During the project, the sponsor monitors performance to assure that time schedules are being met. A quarterly report, in this regard, is forwarded to FAA.

**Audits:** Present procedures provide that an audit be made upon project completion to determine allowable project costs. Under the total audit concept, audits will be made on an organization-wide basis (rather than (grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, ad for programs covered by A-102, Attachment P.

**Records:** Sponsors' records are required to be made available for inspection by FAA and General Accounting Office. Layout plan of the airport must be kept up to date and available as long as this agreement lasts, ordinarily a period of 20 years. Accounting records reflecting all project costs, books, documents, and records pertinent to grants received under ADAP retained for three years after date of submission of final expenditure report.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-8106-0-7-402.

**Obligations:** (Grants) FY 81 $443,000,000; FY 82 $450,000,000; and FY 83 est $450,000,000.

**Range and Average of Financial Assistance:** $2,580 to $32,997,746; $650,803.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 622 grant agreements were executed; 600 grant agreements estimated for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Part 152, Federal Aviation Regulations, 14 CFR Part 152.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to contact the Federal Aviation Administration Regional, or District Offices; see Appendix for addresses.

**Headquarters Office:** Grants-in-Aid Division, APP-500, Federal Aviation Administration, Office of Airports Planning and Programming, 800 Independence Avenue, SW, Washington, DC 20591. Telephone: (202) 426-3831.

**RELATED PROGRAMS:** 20.103, Airport Planning Grant Program; 39.002, Disposal of Federal Surplus Real Property; 39.003, Donation of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:** Construct new public airports, improve and repair existing public airports, extend runways at existing public airports, purchase fire fighting, rescue, security, snow removal and noise suppressing equipment, acquire land, and install navigation aids.

**CRITERIA FOR SELECTING PROPOSALS:** Only those ADAP projects considered by the FAA administrator to be necessary to provide a system of public airports adequate to anticipate and meet the needs of civil aeronautics, to meet requirements in support of national defense, and meet the special needs of the Postal Service will be considered for selection. The airports at which ADAP projects are proposed must be included in the national airport system plan(NASP).

## 20.103 AIRPORT PLANNING GRANT PROGRAM (PGP)

**FEDERAL AGENCY:** FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Airport and Airway Development Act of 1970; Public Law 91-258; 49 U.S.C. 1713, and the Airport and Airway Development Act Amendments of 1976; Public Law 94-353; and the Aviation Safety and Noise Abatement Act of 1979; Public Law 96-163, and Public Law 97-35. Authority for Planning Grants expired at the end of fiscal year 1981, and new legislation is required to continue the program beyond 1981.

**OBJECTIVES:** To assist public agencies in the planning of a nationwide system of public airports adequate to meet the needs of civil aviation.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Planning grants can be made for: (1) development of airport master plans, (2) development of Airport Noise Compatibility Plans, and (3) development of airport system plans. No more than 10 percent of the funds made available in any fiscal year may be allocated for projects within a single State or territory. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State, county, municipal, and other public agencies are eligible for development of airport master plans and Airport Noise Compatibility Plans if their airport or location is shown in the National Airport System Plan. Planning agencies must be designated by the Administrator, and also be authorized by the laws of the states or political subdivisions concerned to engage in areawide planning.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments only.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Informal preapplication conference with FAA field office is recommended.

**Application Procedure:** For Master, Noise Compatibility, and System Plans, SF 424 and Parts II thru V of FAA Form 5100-101, Application for Federal Assistance (nonconstruction programs) must be submitted to FAA Field Offices.

**Award Procedure:** Master, Noise Compability, and System plan grant applications are submitted to FAA Field offices and upon approval grant offers are made by FAA Field offices. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Contact Headquarters Office for further details.

**Range of Approval/Disapproval Time:** No later than September 30,1981.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** In fiscal year 1981, Federal government provided 75 percent of the cost of airport system plans. The Federal participation rate in the cost of airport master plans was 90 percent for general aviation airports and varied from 75 to 90 percent for air carrier airports depending upon the number of passengers enplaned. The participation rate in master plans was higher in a for states containing large amounts of public lands.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Report of Federal cash transactions, FAA Form 5100-62; Financial status report, FAA Form 5100-63; and project status reports are required per Attachments "H" and "I" of OMB Circular No. A-102. Project status reports must be submitted quarterly.

**Audits:** An audit is made when the project is completed to determine eligibility of planning costs. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Sponsor's records are required to be made available for inspection by FAA and General Accounting Office. Records pertinent to grants under PGP should be retained for three years after date of submission of final financial status report.

**FINANCIAL INFORMATION:**

**Account Identification:** 69- 106-0-7-402.

**Obligations:** (Grants) FY 81 $3,300,000 (from 20.102, Airport Development Aid Program); FY 82 est $3,500,000; and FY 83 est $3,500,000.

**Range and Average of Financial Assistance:** For the system plan: $20,000 to $200,000; $100,000. For the master plan: $5,000 to $600,000; Aircarrier: $60,000, General Aviation: $20,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 50 grants were awarded. It is estimated that 50 grants will be awarded in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 14 CFR 152.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to contact the Federal Aviation Administration Region, or District Offices; see Catalog Appendix for a list of the addresses.

**Headquarters Office:** Grant-in-Aid Division, APP-500, Federal Aviation Administration, Office of Airport Planning and Programming, 800 Independence Avenue, SW, Washington, DC 20591. Telephone: (202) 426-3831.

**RELATED PROGRAMS:** 20.102, Airport Development Aid Program.

**EXAMPLES OF FUNDED PROJECTS:** Planning at individual airports includes demand/capacity analysis, Airport noise control and land use compatibility analysis, environmental studies, and financial analysis. System plans for states, regions, and metropolitan areas include definition, airport roles and needs, identification of system alternatives, formulation of aviation policies, and selection of preferred system.

**CRITERIA FOR SELECTING PROPOSALS:** Application approval is based upon need for the planning and the relationship of the planning to the national airport system. The scope of the proposed project and reasonableness of cost are also considered.

## 20.105 LOAN GUARANTEES FOR PURCHASE OF AIRCRAFT AND SPARE PARTS

### (Aircraft Loan Guarantee Program)

**FEDERAL AGENCY:** FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Aircraft Loan Guarantee Program, Public Law 95-504, amending the original 1957; Public Law 85-307 as amended (49 U.S.C. 1324 Note).

**OBJECTIVES:** To guarantee loans under certain conditions for the purchase of aircraft and spare parts.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** The Acts authorize the guarantee of loans up to $100,000,000 per air carrier; a guarantee may not exceed 90 percent of the face value of the loan and 100 percent of unpaid interest. The loan itself may not exceed 90 percent of the purchase price of the aircraft and spare parts and engines. The loan term may not be longer than 15 years, but may be shorter depending on the type of aircraft being purchased. In fiscal year 1982, the program is limited to the purchase of aircraft design to have 60 seals or less or 18,000 pounds cargo payload on less.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applications of eligible applicants will be approved only if the Administrator of the Federal Aviation Administration finds that (1) the air carrier would not otherwise be able to obtain funds for the purchase of aircraft upon reasonable terms, (2) the aircraft to be purchased are needed to improve the service and efficiency of the air carrier, (3) there is reasonable assurance of the carrier's ability to repay the loan, and (4) the value of the security pledged furnishes reasonable protection to the United States.

**Beneficiary Eligibility:** The benefits of the Acts are extended to (1) any air carrier whose certificate (A) authorizes such air carrier to provide local or feeder air services, (B) authorizes scheduled passenger operations, the major portion of which are conducted within the State of Hawaii, (C) authorizes operations (the major portion of which is conducted either within Alaska or between Alaska and the forty-eight contiguous States), within the State of Alaska (including service betwen Alaska and the forty-eight contiguous States, and between Alaska and adjacent Canadian territory), or (D) authorizes metropolitan helicopter service; (2) any charter air carrier for the purchase of any all-cargo nonconvertible aircraft; (3) any commuter air carrier; or (4) any intrastate air carrier.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The application for a guarantee consists of two parts--FAA Form 2950-1, Application for Aircraft Loan Guarantee, to be submitted by the lender, and FAA Form 2950-2, the supporting Statement of Carrier. The reverse side of each form contains instructions for filling out the form and indicates the economic and operational data required of the carrier and the lender to enable the Administrator to make the determinations required by the Acts.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Estimated at three to four months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Notice of company actions are required in the loan guarantee agreement.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1399-0-1-402.

**Obligations:** (Loans) FY 81 $350,000,000; FY 82 est $100,000,000; and FY 83 est $100,000,000.

**Range and Average of Financial Assistance:** Guarantee loans from $400,000 to $89,900,000. Average Loan $12,847,000.

**PROGRAM ACCOMPLISHMENTS:** Received 159 applications; 101 guarantees executed, 43 applications withdrawn.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Secretary of Transportation has delegated to the Federal Aviation Administrator the powers and duties vested in him by the Acts; and the Administrator has delegated his authority to the Director, Office of Aviation Policy and Plans, Part 199 of the Federal Aviation Regulations. The Regulations are detailed in 14 CFR 199, Federal Register, July 30, 1979, page 44806. Copies of the Acts may be obtained from the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Roger N. Westberg, Federal Aviation Administration, Office of Aviation Policy and Plans, Loan Guarantee Branch, APO-310, Independence Avenue, SW, Washington, DC 20591. Telephone: 202 426-3711.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Loan guarantees for purchase of two Shorts SD3-30 aircraft,one Swearingen Metroliner, two YS-11 cargo aircraft, one Beech-99A, one DeHavilland Dash-7, and four DC-9-80 aircraft.

**CRITERIA FOR SELECTING PROPOSALS:** Eligibility under the Act as described under Beneficiary Eligibility.

## 20.205 HIGHWAY PLANNING AND CONSTRUCTION

### (Federal-Aid Highway Program)

**FEDERAL AGENCY:** FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title 23 U.S.C., "Highways"; revised and codified in 1958 by Public Law 85-767; Federal-Aid Highway Act of 1970, Public Law 91-605; Federal-Aid Highway Act of 1973, Public Law 93-87; Federal-Aid Highway Amendments of 1974, Public Law 93-643; Federal-Aid Highway Act of 1976, Public Law 94-280; Surface Transportation Assistance Act of 1978, Public Law 95-599 as amended by Public Law 96-106, Federal-Aid Highway Act of 1981, Public Law 97-134.

**OBJECTIVES:** To assist State highway agencies (SHA) in the development of an integrated, interconnected network of highways by constructing and rehabilitating the Interstate highway system and building or improving primary, secondary, and urban systems roads and streets; to provide aid for their repair following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. Also provides for the improvement of some highways in Guam, the Virgin Islands, American Samoa, and the Northern Mariana Islands.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:** Depending on which aspect of the program funds are applied to, they may be used for planning, research, surveying, engineering, right-of-way acquisition, new construction, reconstruction, repair, improvement, restoration, rehabilitation, resurfacing, roadside beautification, relocation assistance and recreation. Funds may be applied to highways, bridges, bicycle transportation, pedestrian walkways, fringe and corridor parking facilities, and rest areas. These funds cannot participate in any maintenance activities, such as pothole patching or snowplowing. All capital projects in urban areas of more than 50,000 population must be based on a continuing comprehensive planning process. Some county and local roads and streets may be part of a Federal-aid system and are eligible for improvement, but only through State highway agency coordination and action. Federal-aid urban system authorizations may be used for mass transit capital improvements at the request of State and local governments. Certain Interstate segments in urbanized areas may be withdrawn from the System upon the joint request of the Governor and local governments concerned, with substitution funding made available as a result from the General Treasury by congressional appropriations for highway and mass transit projects or any combination of the two as selected by responsible local officials and submitted by the Governor. Special programs for highway safety, bridge replacement and rehabilitation, and railroad grade crossing protection are available for roads on Federal-aid systems; the latter two programs are available for off-system roads as well. This program is eligible for joint funding but the initiative lies with the State Highway Agency. The State Highway Agency is responsible for reviewing and rejecting or approving on a final basis specific State projects. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State highway agencies. Projects related to bicycle transportation and forest and public lands highway, certain projects in urban areas, or projects off the State highways systems may be proposed by counties and other political subdivisions or agencies through the State highway agencies. Territorial highway projects are funded in the same manner as other Federal-aid highway projects, with the territorial highway agency functioning as the State highway agency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Federal-aid secondary projects must be selected in cooperation with local officials. Urban System projects must be selected by local officials with concurrence of the State. Most other types of projects are selected by the SHAs in cooperation with local officials. Applications are subject to State and areawide clearinghouse reviews pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact assessment is required for this program.

**Application Procedure:** State highway agencies submit a program of desired projects to the State-level office of the Federal Highway Administration; for projects related to forest highways submissions are made to the Direct Federal Division Engineers.

**Award Procedure:** In general, the State level office of FHWA makes final decision on the eligibility of specific projects for funding but the state highway agencies generally dcecide which projects will be develop within apportioned funding levels; however, some project eligibility decisions are made at the FHWA Headquarters or Region level Offices. Notification of awards occurs at time of apportionment or allocation of funds rather than at time of project approval and must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. There are several categories where limited assistance is allocated at the discretion of the Secretary of Transportation. Candidate projects are usually solicited around the start of the fiscal year and must be submitted by the State highway agencies.

**Deadlines:** With regular formula programs, there are no deadlines for funding requests. For the limited number of discretionary project grants, applications are usually considered late in the fiscal year before the year for which the funds are available. Grants are generally made early in the fiscal year. All grants are made through the SHAs, which are advised of schedules for submission of candidates.

**Range of Approval/Disapproval Time:** Five days to five months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formulas where applicable are based on independently derived factors such as ratio of population, area and road mileage that generally reflect needs in a single State relative to the totals for all States. Both statutory and administrative formulas are used. Some categories, plus part of the Interstate, primary, and bridge funds, are distributed on an as-needed basis. The normal Federal share is 90 percent for Interstate and safety projects, 80 percent for bridge replacement and rehabilitation, and 75 percent for most other projects. The Federal share may be increased in the case of States with large areas of public lands. Some projects, including territorial highway projects, require no State matching of Federal funds. This program has maintenance of effort (MOE) requirements; see funding agency for further details. The broad concept of the Highway Planning and Construction Program includes over 30 sub-program areas. The following list includes a sample of these areas with their respective statistical factors, sources used for allocation, and the types of formulas used to determine the means of allocation and eligibility requirements. INTERSTATE CONSTRUCTION: 1) State's relative share of the estimated cost necessary to complete the Interstate System, source - Committee Print 97-28, "A Revised Estimate of the Cost of Completing the National System of Interstate and Defense Highways". Statutory formulas used for allocation and eligibility. INTERSTATE RESURFACING FUNDS: 1) interstate system alane miles, source - "Interstate System Travelway Traffic Map," Office of Highway Statistics, and data from the States; 2) vehicle miles traveled on interstate routes, source - "Interstate System Travelway Traffic Map" provided by State Statutory formulas used for allocation and eligibility. CONSOLIDATED PRIMARY FUNDS: 1) area - land and inland water square miles, source - 1980 Census; 2) population in rural areas, source - 1980 Census; 3) inter-city mail and rural delivery route miles (December 31, 1978), source - Postmaster General's records; 4) population in urbanized areas, source - 1980 Census. Statutory formulas used for allocation and eligibility. RURAL SECONDARY FUNDS: 1) area - land and inland water square miles, source - 1980 Census; 2) population in rural areas, source - 1980 Census; 3) inter-city mail and rural delivery route miles (December 31, 1978), source - Postmaster General's records. Statutory formulas are used for allocation and eligibility. URBAN SYSTEM FUNDS: 1) population in places of 5,000 or more, source - 1980 Census; population in urbanized areas of 200,000 or more, source - 1980 Census. Statutory formulas used for allocation and eligibility. BRIDGE REPLACEMENT AND REHABILITATION PROGRAM: 1) States' deficient bridges on the Federal Aid System, source - revised Table 1 of Committee Print, 95-49, Special Bridge Replacement Program, Federl-Aid Highway Act of 1978, and further data from State highway departments. Statutory formulas are used for allocation and eligibility. HAZARD ELIMINATION PROGRAM: 1) population of the State, source - 1980 Census; 2) public road mileage (December 31, 1978), source - administrative records certified by the States. Statutory formulas used for allocation and eligibility. RAIL - HIGHWAY CROSSING PROGRAM: 1) area - land and inland water square miles, source - 1980 Census; 2) rural area population, source - 1980 Census; 3)intercity mail and rural delivery route miles (December 31, 1978), source - Postmaster General's records; 4) population in places of 5,000 or more, source - 1980 Census; 5) rail highway crossings, source - Federal Railroad Administration's "Accident/Incident and Inventory Bulletin," 1978. Statutory formulas used for allocation are eligibility. HIGHWAY SAFETY PROGRAM: 1) total population of the State, source - 1980 Census; 2) public road mileage (December 31, 1978), source - administrative records certified by the State. Statutory formulas used for allocation and eligibility. ECONOMIC GROWTH CENTER FUNDS: 1) area - land and inland water square miles by State, source - 1970 Census; 2) population outside urbanized area by mail and rural delivery route miles by State (December 31, 1978), source - Postmaster General's records. Administrative formulas used for allocation and eligibility. FOREST HIGHWAY FUNDS: 1) area of government lands in national forests by State (June 30, 1955), source - excerpt from Department of Agriculture correspondence, September 21, 1955; 2) value of government lands in national forests (June 30, 1955), source - excerpt from Department of Agriculture correspondence, September 21, 1955. Statutory formulas used for allocation and eligibility. PUBLIC LANDS HIGHWAY 1) States having unappropriated or unreserved public lands, nontaxable Indian lands, or other Federal reservations based on need by specific projects. METROPOLITAN PLANNING: 1) population in urbanized area, source - 1980 Census. Statutory formulas used for allocation and eligibility. EMERGENCY RELIEF: 1) Program of projects submitted by State highway agency or Federal agency following serious Federal-aid road damage caused by a natural disaster which occurred over a wide area, or by catastrophic failure. There are no statistical factors used for eligibility for any of the above programs.

**Length and Time Phasing of Assistance:** Except for the Interstate program, Federal-aid highway funds generally become available at the fiscal years for which they are authorized, and must be obligated within 3 years after close of that fiscal year. Interstate funds become available 1 year prior to the beginning of the fiscal year for which they are authorized, and must be obligated by the close of that fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Generally, the State-level office of the Federal Highway Administration monitors State operations during highway project location, design and construction. After the project is completed State maintenance of the project is reviewed periodically.

**Audits:** States are expected to audit their own operations. DOT auditors evaluate the State's operations and perform additional audit work as warranted. Under the total concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Project records and documents must be retained by the State for three years following the final submission for Federal payment.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8102-0-7-401.

**Obligations:** (Grants) FY 81 $8,798,673,000; FY 82 est $8,010,981,000; and FY 83 est $7,619,955,000.

**Range and Average of Financial Assistance:** $28,865,000 to $654,263,000; $146,538,000.

**PROGRAM ACCOMPLISHMENTS:** Construction contracts worth approximately $8.6 billion were awarded in fiscal year 1979 for 6,859 highway and bridge construction and reconstruction projects. During fiscal year 1980, Highway Bridge Replacement and Rehabilitation Program funds were used to begin replacement or rehabilitation of 1,206 bridges with preparation for construction initiated on an additional 534 bridges. During fiscal year 1981 highway bridge replacement and rehabilation program funds were used to continue funding projects already underway and to begin replacement or rehabilitation of 1,597 bridges with preparation for construction initiated on an additional 737 bridges.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 23 CFR, "Highways."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional or State-level offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or State highway agencies.

**Headquarters Office:** Federal Highway Administrator, Federal Highway Administration, Washington, DC 20590. Telephone: (202) 426-0650 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 20.500, Urban Mass Transportation Capital Improvement Grants; 20.505, Urban Mass Transportation Technical Studies Grants; 20.507, Urban Mass Transportation Capital and Operating Assistance Formula Grants; 20.509, Public Transportation for Nonurbanized Areas; 20.600, State and Community Highway Safety; 23.003, Appalachian Development Highway System; 23.008, Appalachian Local Access Roads; 23.017, Appalachian Special Transportation Related Planning, Research and Demonstration Program.

**EXAMPLES OF FUNDED PROJECTS:** (A) On the Interstate System, 277 new miles were opened to traffic in the 12 months ending December 31, 1981. A total of 40,529 miles or 94.4 percent of the proposed Interstate System is open to traffic, with construction underway on 2,913 miles. (B) Over $122 million in Emergency Relief funding was obligated in fiscal year 1981 for the repair and reconstruction of highways and bridges damaged in recent years. During the year, emergency assistance was extended to 9 additional disasters in 12 States. (C) The replacement or rehabilitaiton of approximately 2,334 additional deficient bridges was initiated in fiscal year 1981, with $895 million of Highway Bridge Replacement and Rehabilitation Program funds for new projects and projects already underway. (D) Over $1.5 billion for safety improvements to existing highways, including $500 million of special safety fund for railroad grade crossing protection, eliminating roadside obstacles, correcting high hazard locations, and improving markings.

**CRITERIA FOR SELECTING PROPOSALS:** To be eligible, most projects must be located on one of the designated Federal-aid systems and included in a statewide (or areawide) program of projects submitted for Federal approval. Legislative language restricts some authorization to projects on a particular Federal-aid system (Interstate, primary, secondary, urban), and other authorizations to particular types of projects (bridge replacement and reconstruction, hazard elimination, emergency relief, bicycle transportation etc.). Proposed projects meeting these and other design, environmental, safety, etc. standards can be approved on the basis of State and local priorities within the limit of the funds apportioned or allocated to each State.

## 20.214 HIGHWAY BEAUTIFICATION—CONTROL OF OUTDOOR ADVERTISING, AND CONTROL OF JUNKYARDS

**FEDERAL AGENCY:** FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Highway Beautification Act of 1965, Public Law 89-285 as amended; 23 U.S.C. 131, 136; Federal-Aid Highway Amendments of 1974, Public Law 93-643; Federal-Aid Highway Act of 1976, Public Law 94-280; Surface Transportation Assistance Act of 1978, Public Law 95-599.

**OBJECTIVES:** To beautify highways and their vicinities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To assist State highway agencies in beautifying highways and communities by controlling junkyards and outdoor advertising signs in areas adjacent to the interstate and Federal-aid primary highway system.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State highway agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouse reviews pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** State highway agencies submit a program of desired projects to the State-level office of the Federal Highway Administration.

**Award Procedure:** The FHWA Division Administrator (State-level office) generally makes final decisions to approve or disapprove individual projects. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Five to seven days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Project grant based on estimated cost of removing or screening junkyards on primary highway systems, or of removing signs from non-commercial areas. The Federal share of costs of projects for control of junkyards and outdoor advertising is generally 75 percent.

**Length and Time Phasing of Assistance:** Federal funds are available after they are appropriated until they are expended.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The State-level office of the Federal Highway Administration monitors State operations during highway project location, design, and construction. After the project is completed, State maintenance of the project is reviewed periodically.

**Audits:** States are expected to audit their own operations. DOT auditors evaluate the State's audit operations and perform additional audit work as warranted. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Atttachment P.

**Records:** Project records and documents must be retained by the State for three years following the final submission for Federal payment.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0540-0-1-401.

**Obligations:** (Grants) FY 81 $6,183,000; FY 82 $524,533; and FY 83 est $0.

**Range and Average of Financial Assistance:** $3,500 to $750,000; $61,218.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 1,120 projects were underway.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 23 CFR 750-753.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional or State-level offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or State highway agencies.

**Headquarters Office:** Office of Right of Way, Federal Highway Administration, Washington, DC 20590. Telephone: (202) 426-0342 (use the same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) Nonconforming signs acquired, 2) nonconforming signs removed, 3) nonconforming junkyards abated (screened, removed, or relocated), 4) bonus payments to States.

**CRITERIA FOR SELECTING PROPOSALS:** Funding for individual States is generally based on the following criteria: 1) obligation level, 2) level of expenditures, 3) percentage of program not currently funded, 4) bonus payments, 5) cumulative unexpended obligations, and 6) State's request.

## 20.215 HIGHWAY TRAINING AND EDUCATION

**FEDERAL AGENCY:** NATIONAL HIGHWAY INSTITUTE, FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 115(a), (b), and (c) of the Federal-Aid Highway Act of 1970 (PL 91-605 entered as 23 U.S.C. 321); and 23 U.S.C. 307(a), 315, and 403.

**OBJECTIVES:** To develop and administer, in cooperation with State highway departments, training programs of instruction for Federal Highway Administration (FHWA) and State and local highway department employees engaged or to be engaged in Federal-aid highway work.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** States may use up to one-half of one percent of the Federal funds available to them for non-Interstate highway purpose (see Program 20.205) for education and training of State and local highway department employees. This training may be offered by the State through its own training facilities or may be obtained by contact with universities or other institutions. Two conditions are attached to usage of Federal funds: the payment cannot exceed 75 percent of the costs of tuition and direct educational expenses, and no funds can be used for travel, subsistence, or salaries of employees being trained. The National Highway Institute (NHI) conducts or arranges for presentations of courses of study which meet the greatest common training needs existing at the Federal, State, and local levels in highway-related areas. Such courses address new technological developments, and Federal programs and procedures.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local highway agencies.

**Beneficiary Eligibility:** Employees of State and local highway agencies engaged in, or to be engaged in, Federal-aid highway work.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** States may apply, orally or in writing, to the State-level (division) office of FHWA for participation in training courses or for the use of one-half of one percent of Federal-aid highway funds for training.

**Award Procedure:** The FHWA Division Administrator decides on course attendance, and on the use of one-half of one percent of highway funds in accordance with the provisions of the Federal-Aid Highway Program Manual, Vol. 3, Chap. 1, Sec. 2.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** Participating agencies must keep records of expenditures.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8102-0-7-401.

**Obligations:** (Salaries and expenses) FY 81 $1,600,000; FY 82 est $1,600,000; and FY 83 est $1,900,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In 1981, approximately 370 training presentations were made, involving 12,000 Federal, State, and local participants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 23 CFR, "Highways".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional or State-level (division) offices of FHWA as listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, National Highway Institute, Federal Highway Administration, Washington, DC 20590. Telephone: (202) 426-9141 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 20.216, Highway Educational Grants.

**EXAMPLES OF FUNDED PROJECTS:** Courses as follows: 1.) Preparation of Environmental and 4(f) Statements. 2.) Highway Program Financing. 3.) Value Engineering. 4.) Traffic Signal Optimization Timing. 5.) Pavement Management.

**CRITERIA FOR SELECTING PROPOSALS:** Courses conducted fill major agency needs as defined by National program emphasis areas, and are presented within time, staff, and budget constraints.

## 20.216 HIGHWAY EDUCATIONAL GRANTS

**FEDERAL AGENCY:** NATIONAL HIGHWAY INSTITUTE, FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 115(a), (b), and (c) of the Federal-Aid Highway Act of 1970 (PL 91-605) entered as 23 U.S.C. 321); and 23 U.S.C. 307(a), 315, and 403.

**OBJECTIVES:** To assist State and local agencies and the Federal Highway Administration (FHWA) in developing the expertise needed for implementation of their highway programs. The programs are intended to address identified training needs of State and local agencies and FHWA identified national emphasis areas which currently include: cost effective design and construction, improved hazardous materials transport, pavement management, and highway safety.

**TYPES OF ASSISTANCE:** Project Grants; Training.

**USES AND USE RESTRICTIONS:** The educational grants may be used for one year of full-time or two years of part-time study at any accredited college or university. The study program must be in a discipline which is needed by a State or local highway/transportation agency or the FHWA to implement their highway programs. The recipients of grants for special study programs must pursue the curriculum as outlined in the special program announcement. The educational grant funds may not be used for travel to or from the institution offering the study program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Employees of Federal, State and local highway/transportation agencies engaged in or to be engaged in Federal-aid highway work. This includes employees of highway/transportation agencies of Federally recognized Indian tribes and the U.S. territorial governments.

**Beneficiary Eligibility:** Primary beneficiary is the employer of the educational grant recipient; secondarily, the recipient.

**Credentials/Documentation:** Application FHWA Form 1435 (Rev. 7/80), employer's letter of endorsement, and acceptance by institution providing study program.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Notices announcing each of the educational grant programs and containing an application form are published approximately one year prior to the academic year in which the study program is to begin and from four to five months prior to program application deadline.

**Application Procedure:** Applications for a National Highway Institute (NHI), FHWA educational grant should be submitted to the NHI through the FHWA division and regional offices. Exceptions to this procedure are noted in the program announcement. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Director, NHI makes the final selection of recipients of all educational grants. This decision is usually based on the rankings of the eligible candidates by a selection panel made up of representatives of government, industry, and the academic community.

**Deadlines:** Indicated in program announcement (usually three to nine months before study program is to begin).

**Range of Approval/Disapproval Time:** Approximately three months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The amount of the educational grant is determined by the cost of tuition, books, fees, and amount of salary support given by employer. Total amount of grant may not exceed a pre-stated amount.

**Length and Time Phasing of Assistance:** Grant becomes available at time study program begins and remains available during approved length of study program.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Recipients must agree to submit evaluation reports upon request for a period of three years. Work Commitment: Depending on the grant program, recipients may be required to work for the FHWA or a State or local highway agency for a period of up to three years maximum after completion of the study program or pay back a pro rata amount of the grant with interest.

**Audits:** No special audits required.

**Records:** Program records are kept for a period of five years.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8102-0-7-401.

**Obligations:** (Grants) FY 81 $450,000; FY 82 est $450,000; and FY 83 est $450,000.

**Range and Average of Financial Assistance:** $2500 to $7500; Average $3000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 250 applications were received and 150 grants were awarded. In fiscal year 1982, to date, 50 grants have been awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 23 CFR "Highways"; FHWA Federal-Aid Highway Program Manual, Volume 3, Chapter 2, Section 1.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional or State-level (division) offices of FHWA as listed in Appendix IV of the Catalog.

**Headquarters Office:** Director, National Highway Institute, Federal Highway Administration, Washington, DC 20590, Telephone: (202) 426-3100 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 20.215, Highway Training and Education.

**EXAMPLES OF FUNDED PROJECTS:** In FY 1981, approximately 150 awards, one year full-time and 2 year part-time educational grants were made to persons who pursued study programs in such disciplines as hydraulics , transportation engineering, soil mechanics, real estate, public archaeology, and public administration. In FY 1982 to date, 50 such awards have been made.

**CRITERIA FOR SELECTING PROPOSALS:** Generally, the criteria used in selecting candidates are the employer's assessment of the candidate, including the employer's need for and intended use of the candidate's newly acquired expertise, the candidate's experience, education and training, proposed study program, and the overall potential of the candidate to contribute to the employer's highway/transportation program.

## 20.217 MOTOR CARRIER SAFETY

**FEDERAL AGENCY:** BUREAU OF MOTOR CARRIER SAFETY, FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Interstate Commerce Act; P.L. 95-473; 49 U.S.C. 304; P.L. 89-670; Department of Transportation Act of 1966; 49 U.S.C. 1655; P.L. 92- 574; Hazardous Materials Transportation Act; 49 U.S.C. 1801.

**OBJECTIVES:** To protect the public from risks inherent in commercial vehicle operations on the public highways, to minimize risks involved in moving hazardous materials over public highways, and to reduce noise pollution from commercial vehicle operation.

**TYPES OF ASSISTANCE:** Investigation of Complaints; Training.

**USES AND USE RESTRICTIONS:** Complaints of unsafe truck operations are accepted from the public and other elements of government at all levels. Complaints must be in writing, but public complaints need not be signed. Orientation and training in motor carrier safety inspection, hazardous materials identification, and incident response are provided at no cost on a funds and time availability basis to State and local enforcement and emergency response personnel.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone is eligible to file a complaint; State and local police, rescue, and firefighting units may apply for safety and hazardous materials training.

**Beneficiary Eligibility:** Same as applicant eligibility.

**Credentials/Documentation:** Written complaints for violations or unsafe practices; letterhead request for orientation or training on safety and hazardous materials.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter of complaint for unsafe practices; letterhead request for orientation and training.

**Award Procedure:** State-level Officer-in-Charge assigns Safety Investigator staff to follow up on complaints; Associate Regional Administrator for Motor Carrier Safety and State-level Officer In Charge assign resources to orientation and training requests.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Three to seven days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Written complaints investigated and orientation/training furnished subject only to resource available limitations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0552-0-1-401.

**Obligations:** (Salaries and expenses) FY 81 $13,680,000; FY 82 est $15,163,000; and FY 83 est $12,705,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In 1980, more than 1,500 complaint investigations were conducted, and over 800 orientation or training sessions were conducted on hazardous materials transportation or on motor carrier safety. In 1981, more than 1500 complaint investigations were conducted, and over too orientation or training sessions were conducted on hazardous materials transportation or on motor carrier safety.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Federal Motor Carrier Safety Regulations," 49 CFR 325, 386-399, and 'DOT Hazardous Materials Regulations," 49 CFR 170-178.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional or State-level office of the Federal Highway Administration (as listed in Appendix IV of the Catalog).

**Headquarters Office:** Director, Bureau of Motor Carrier Safety, Federal Highway Administration, Washington, DC 20590. Telephone: (202) 426-1790 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Training on motor carrier safety and hazardous materials enforcement provided for the Iowa Highway Patrol and Iowa Department of Transportation; similar State enforcement agencies in Rhode Island, Connecticut, Colorado, and many other States. These efforts included instruction in applicable rules, inspection techniques, and workplace safeguards.

**CRITERIA FOR SELECTING PROPOSALS:** There is no specific selection criteria, but complaints are handled on an as-received basis; training requests are honored on a time and resource availability basis.

# FEDERAL RAILROAD ADMINISTRATION

## 20.301 RAILROAD SAFETY

### (Railroad Safety Services)

**FEDERAL AGENCY:** FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Department of Transportation Act of 1966, (Public Law 89-670), 49 U.S.C. 1651-1659; Federal Railroad Safety Act of 1970, as amended, (Public Law 91-458, 93-90), 45 U.S.C. 421-441, and 49 U.S.C. 1651-1659.

**OBJECTIVES:** To reduce railroad-related casualties and accidents.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The services offered by the Federal Railroad Administration (FRA), Office of Safety are made available according to the type of service. Any individual or institution with a complaint or inquiry concerning railroad safety may contact the FRA. Responses will be made to all inquiries. Information and interpretations will be provided relative to railroad safety laws and regulations administered by the Federal Railroad Administration. Records and reports are made available within the parameters of the Freedom of Information Act. Complaints will be investigated, and legal action will be taken if a safety regulation has been violated by a carrier. In cases where potential safety hazards are discovered, recommendations will be made to the responsible party on corrective actions to be taken. The Office of Safety will instruct and assist both volunteer and paid fire companies, and other emergency personnel in the safe handling of railroad accidents involving hazardous materials. Seminars are conducted to provide instruction in the many aspects of the various railroad safety laws. Additionally, plans and specifications submitted by railroads and equipment suppliers covering the construction of various types of railroad equipment will be reviewed. Reviews usually include a field inspection of prototype equipment. In cases where exceptions to the safety regulations or potential safety hazards are noted, recommendations are made to the responsible party for corrective actions to be taken.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** General public and/or individuals concerned with railroad safety.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required.

**Application Procedure:** Contact FRA headquarters, preferably by letter.

**Award Procedure:** Seminars are conducted by headquarters technical staff, and various services are provided by headquarters personnel.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0702-0-1-401.

**Obligations:** FY 81 $27,498,952; FY 82 est $28,717,334; and FY 83 est $29,400,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In 1981, Office of Safety processed 759 complaints from the private sector on railroad safety matters; inspected 31,047 locomotives, 455,375 cars, 207,853 miles of track, and 18,319 signals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Not applicable.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Director of Railroad Safety, 150 Causeway St., Boston, MA 02114, (617) 223-2775; Regional Director of Safety, Independence Bldg., 434 Walnut St., Philadelphia, PA 19106, (215) 597-0750; Regional Director of Railroad Safety, Suite 440, North Tower, 1720 Peachtree Road, NW, Atlanta, Georgia 30309, (404) 881-2751; Regional Director of Safety, 536 S Clark Street, Rm, 210, Chicago, IL 60605, (312) 353-6203; Regional Director of Railroad Safety, 11A23 Federal Bldg., 819 Taylor St., Ft. Worth, Tx 76102, (817) 334-3601; Regional Director of Railroad Safety, 302 Meade Building, 421 S.W. Fifth Avenue, Portland, OR 97204, (503) 221-3011; Regional Director of Railroad Safety, 2 Embarcadero Center, Suite 630, San Francisco, CA 94111, (415) 556-6411; Regional Director of Railroad Safety, 1807 Federal Bldg., 911 Walnut St., Kansas City, MO 64106, (816) 374-2497.

**Headquarters Office:** Associate Administrator for Safety, Federal Railroad Administration, 400 Seventh Street, SW Washington, DC 20590. Telephone: (202) 426-0895.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Investigation of complaints against railroads for violation of railroad safety rules and regulations. Inspection of railroad track, equipment and practices. Assistance to fire and law enforcement agencies to train for emergency situations arising from railroad accidents. Inspection of prototype railroad equipment.

**CRITERIA FOR SELECTING PROPOSALS:** Selection is based on legislative requirements. Programs having the greatest impact on reducing railroad casualties accidents are selected.

## 20.303 GRANTS-IN-AID FOR RAILROAD SAFETY—STATE PARTICIPATION

### (State Participation in Railroad Safety)

**FEDERAL AGENCY:** FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Federal Railroad Safety Act of 1970, Section 206, 84 Stat. 972, as amended, (Public Law 91-458). Federal Railroad Safety Authorization Act of 1980 - expanded state participation authority (49 CFR Part 212).

**OBJECTIVES:** To promote safety in all areas of railroad operations; reduce railroad related accidents and casualties; and to reduce damage to property caused by accidents involving any carrier of hazardous materials by providing state participation in the enforcement and promotion of safety practices.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Through availability of Federal funds, participating states will be better able to provide the necessary personnel, training, equipment, and activities related to enforcement of Federal railroad standards, as called for under the Federal Railroad Safety Act of 1970, as amended. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs which are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A state may participate in investigative and surveillance activities in connection with regulations promulgated by the Federal Railroad Administration (FRA) under this Act which are applicable to track and rolling equipment. The state must provide the Administrator with an annual certification that the state agency (1) has regulatory jurisdiction, (2) has been furnished a copy of each Federal rail safety regulation, and (3) is conducting investigative and surveillance activities prescribed by the FRA Administrator. The state must furnish evidence of budget authority. State safety personnel must be bona fide state employees. State inspectors must meet minimum Federal qualifications, as well as successfully complete the inspector trainee technical written examination and practical field testing. Non-certifying states may also participate by an agreement with the Federal Railroad Administrator.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Annual certification, as outlined under Applicant Eligibility, includes a report showing (1) the name and address of each railroad subject to the safety jurisdiction of the State agency; (2) the record maintenance, reporting, and inspection conducted by the state agency, including a detail of the number of inspections made of rail facilities, equipment, rolling stock, and operations by the state agency during the preceding 12 months; and (3) other information as the Secretary of Transportation may require. Governors or their designee must be given an opportunity to review the state plan pursuant to Part III, Attachment A, of OMB Circular No. A-95 (Revised). States must provide proof of employee experience qualifications and provide a monthly plan of activities. States must maintain a total funding level for the Safety program that does not fall below the coverage level or such expenditures for fiscal years 1968 and 1969. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** It is recommended that interested states contact the Associate Administrator for Safety, State Safety Program, Federal Railroad Administration, 400 Seventh St, SW, Washington, DC 20590. Telephone: (202) 426-1510. Consultation and assistance is available from the FRA in preparing the application form, furnished by the FRA and required by OMB Circular No. A-102 and FRA regulations (49 CFR 212).

**Application Procedure:** Completion of the form entitled "State Participation Program" is required for certification or agreement under Section 206 of the Act and 49 CFR 212. The information required in this form is specified in 49 CFR 212.13 for the Initial Certification and Report. The form includes provisions for a description of the state's planned program with respect to the investigative and surveillance activities prescribed for each Federal railroad safety rule, regulation, order, or standard for which a certification is submitted, or into which an agreement is entered.

**Award Procedure:** The application for payments and approval by the Federal Railroad Administrator requires certification under Section 206, Subsection (a); the report required under Subsection (b); or agreements with noncertifying states as outlined under Subsection (c); and satisfactory assurances to the Administrator that the state agency will provide the remaining costs, of a safety program, as reflected under Subsection (d). Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Federal appropriations for the State Participation program are made on a Federal fiscal year basis for activities to be conducted in the ensuing fiscal year.

**Range of Approval/Disapproval Time:** Sixty days.

**Appeals:** Not applicable.

**Renewals:** Certification required annually; agreements with noncertifying states required annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Secretary of Transportation shall pay out of funds appropriated pursuant to this title or otherwise made available, up to 50 percent of cost of the personnel, equipment, and activities of a state agency which are reasonably required, during the ensuing fiscal year, to carry out a safety program under such certification or agreement. No payment may be made unless the state agency making application gives satisfactory assurances to the Secretary of Transportation that the state agency will provide the remaining cost of a safety program and that the aggregate expenditures of state funds exclusive of Federal grants, will be maintained at a level which does not fall below the average level of such expenditures for the last two fiscal years preceding the date of enactment of this title.

**Length and Time Phasing of Assistance:** Annually, subject to certification and the availability of Federal funds.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The state agency shall submit a copy of each semiannual expenditure/performance report, a monthly work schedule, and a daily inspector log for each state safety inspector to the FRA.

**Audits:** The state agency shall maintain a financial management system which is in compliance with the standards listed in Attachment G to OMB Circular No. A-102. In addition, the state agency shall permit authorized representatives of the FRA or other Federal Government agencies to review investigative and surveillance activities and to inspect payrolls, personnel records, invoices, and other relevant data and records pertaining to payment agreements and implementation activities. Audits will be conducted annually or at the discretion of the FRA's Office of Safety. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standard for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** (See Reports and Audits) The state agency is authorized to substitute microfilm copies in lieu of original records. The FRA shall request the state agency to transfer certain records to Federal custody when the FRA determines that the records possess long-term retention value.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0706-0-1-401.

**Obligations:** (Grants) FY 81 $2,321,203; FY 82 est $2,334,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** The Federal share is estimated at $25,000 per State inspector.

**PROGRAM ACCOMPLISHMENTS:** A total of 31 states are participating in the Track Safety and Freight Car Program in fiscal year 1982, with 94 inspectors (63 track inspectors and 31 equipment inspectors).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Railroad Safety Act of 1970, as amended; the Federal safety standards published thereunder; and the State Participation Regulations (49 CFR 212). (See PROGRAM ACCOMPLISHMENTS.)

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Director of Railroad Safety, 150 Causeway Street, Boston, Massachusetts 02114, (617) 223-2775; Regional Director of Railroad Safety, 434 Walnut St., Philadelphia, PA 19106. Telephone: (215) 597-0750. Regional Director of Railroad Safety, 1720 Peachtree Road, NW, Atlanta, GA 30309. Telephone: (404) 881-2751. Regional Director of Railroad Safety, 536 S. Clark St., Chicago, IL 60605. Telephone: (312) 353-6203. Regional Director of Railroad Safety, 819 Taylor St., Ft. Worth, TX 76102. Telephone: (817) 334-3601. Regional Director of Railroad Safety, 2 Embarcadero Center, Suite 630, San Francisco, CA 94111. Telephone: (415) 556-6411; Regional Director of Railroad Safety, 1807 Federal Bldg., 911 Walnut Street, Kansas City, MO 64106, (816) 374-2497; and Regional Director of Railroad Safety, 302 Meade Building, 421 S.W. Fifth Avenue, Portland, Oregon, 97204, (503) 221-3011.

**Headquarters Office:** Associate Administrator for Safety, Federal Railroad Administration, 400 Seventh Street, SW, Washington, DC 20590. Telephone: (202) 426-0895.

**RELATED PROGRAMS:** 20.301, Railroad Safety; 20.502, Urban Mass Transportation Grants for University Research and Training; 26.002, Air Transportation—Consumer Affairs; 33.001, Shipping—Investigation of Complaints; 41.002, Interstate Commerce—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Two types of inspection programs are funded - one for track safety standards and one for freight car safety standards. States may apply for one program or for both. At present there are 31 states in track and 16 in freight car. Of the 31 states aboard, 16 are in both track and freight car.

**CRITERIA FOR SELECTING PROPOSALS:** The application forms for state participation provide the necessary detail for the selection process of state proposals. It is important that the state meet the eligibility requirements and project a comprehensive safety program plan for involvement. Key criteria are listed in the State Participation Regulations, (49 CFR 212), and the State Program Management Manual, which are integral to the selection and qualifying process.

## 20.307 TRANSPORTATION TEST CENTER

### (Transportation Test Center Facilities)

**FEDERAL AGENCY:** FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** High Speed Ground Act of 1965, Department of Transportation Act of 1966, Section 4, as amended.

**OBJECTIVES:** To make available already established property, facilities and equipment of the Transportation Test Center for the testing of ground and rail transportation systems and operational equipment.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** The mission of the Transportation Test Center (TTC) is to operate and administer an intermodal center for the conduct of comprehensive testing, evaluation, and associated development of ground transportation systems and their components by DOT organizations, other government agencies, and related elements of the private sector. The TTC may be made available for use by industry and foreign governments for programs involving data proprietary to the user which they are unwilling to disclose to the government or in which the government has no R and D interest. In general, the Center will be available on first priority to the programs of the organization which funds the project use facilities, provided that they agree to pay the costs for such use in accordance with policies and requirements of DOT (See DOT 2300.1C and FRA 2510.1A). The user will not be required to supply the government with a copy of the final data. The user will, however, have to supply the TTC with sufficient information to assure compliance with the applicable safety requirements. In turn, the user will not, under any circumstances, be permitted to advertise that his product has undergone testing at the TTC in such a manner that the recipient is left with the impression that the government either endorses the product or is privy to the test results.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Transportation Test Center facilities may be made available for use by components of DOT, other government agencies, industry, and foreign governments provided they agree to the use restrictions of the TTC and agree to pay the costs for such use in accordance with the policies and requirements of the Department of Transportation.

**Beneficiary Eligibility:** Users of the Transportation Test Center benefit directly through the availability of facilities for testing at a minimal cost.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A DOT organization sponsoring either cooperative industry or foreign programs is responsible for obtaining any applicable DOT approvals which may be required. For industry or foreign activities proposed for the TTC other than those of a DOT-sponsored nature, the Center Director will obtain the approval of the Federal Railroad Administrator.

**Application Procedure:** Contact Director, Transportation Test Center, Pueblo, Colorado 81001, Telephone: (303) 545-5660.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Variable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None required.

**Audits:** None.

**Records:** None required.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0745-0-1-401.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 and prior years, various elements of the railroad supply industry such as American Car Foundry, Bi-Modal Corporation, and others, have used the Test Center for private industry tests. Tests have also been conducted for the Association of American Railroads and the joint industry/Government program on Track Train Dynamics. A long-term Government/industry program on accelerated service testing was started in 1976 and will continue into the 1980s. Planned test projects for fiscal years 1981 and 1982 include AEM-7 electric locomotive, Baltimore-Miami Transit Cars, Massachusetts Bay Transportation Authority (MBTA) Orange Line Car, Washington Area Metropolitan Transit Authority (WMATA), Truck Design Optimization Project (TDOP), various projects in of the Rail Dynamics Laboratory, and continuation of the Wayside Detection Research Facility, Facility for Accelerated Service Testing (FAST) and Electromagnetic Compatibility test projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Copies of DOT-23001C and FRA 2510.1 are available from Federal Railroad Administration.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Transportation Test Center, Pueblo, Colorado 81001, Telephone: (303) 545-5660.

**Headquarters Office:** Federal Railroad Administration, 400 Seventh St., SW, Washington, DC 20590.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) Facility for Accelerated Service Testing; 2) Test of AEM-7 electric locomotive; 3) Radial Axle Passenger Truck 4) Metropolitan Atlanta Rapid Transit Authority (MARTA); and 5) Wayside Detection Research Facility.

**CRITERIA FOR SELECTING PROPOSALS:** Acceptability of test proposals is determined by the degree of relationship of the research or test proposal to the transportation policies and objectives of the Department.

## 20.308 LOCAL RAIL SERVICE ASSISTANCE

### (National Rail Service Continuation Grants)

**FEDERAL AGENCY:** FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 5, Department of Transportation Act of 1966, Public Law 89-670 as amended by Title VIII, Section 803 of the Rail Revitalization and Regulatory Reform Act of 1976 (RRRR Act), Public Law 94-210. Local Rail Service Assistance Act of 1978, Title XI, Subtitle G of the Omnibus Reconciliation Act of 1981.

**OBJECTIVES:** To maintain efficient local rail freight services.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants may be used by states to assist in acquiring a line of railroad or other rail properties for existing or future rail freight service; grants may also be used for rehabilitation and improvement, on lines certified by the railroad as having carried three million gross ton miles per mile or less during the prior year, state rail planning and substitute service projects; such assistance to be available in accordance with provisions of Section 5, Department of Transportation Act, as amended, and 49 CFR Part 266.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States are eligible for assistance if they meet requirements contained in 49 CFR Part 266.

**Beneficiary Eligibility:** Beneficiaries are all users of rail freight service assisted by these grants.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95, (revised). The Federal Railroad Administration's Office of State Assistance Programs is responsible for receiving the State plan. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** States will satisfy preapplication requirement through submission of a State rail plan. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications shall be completed in accordance with procedures contained in 49 CFR Part 266. The standard application forms as required by OMB Circular No. A-102 and program procedures are available from the Federal Railroad Administration.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications should be submitted in a timely manner so as to assure rail freight service continuity.

**Range of Approval/Disapproval Time:** 45 days.

**Appeals:** Not applicable.

**Renewals:** New applications shall be contingent upon an annual State Rail Plan Update.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Assistance shall be available to each State in the ratio which such state's eligible mileage bears to the total eligible mileage in all of the states, except that no State shall receive less than one percent of such assistance. The Federal share of the costs of providing rail service assistance under Section 5(h) of the Act will be 70%. This program operates under a statutory formula. The statistical factor used for allocation is an ICC study of abandoned mileage; data obtained from ICC newsletter, "Certificate and Decision" and the System Diagram Map filed annually. There are no statistical factors used for eligibility.

**Length and Time Phasing of Assistance:** Funds authorized for the program are available until expended.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States receiving assistance by advance payment shall file the Report of Federal Cash Transaction and a Financial Status Report quarterly.

**Audits:** Audit procedures shall be in accordance with 49 CFR Part 266 and OMB Circular No. A-102. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Record procedures are specified in 49 CFR Part 266, "Assistance to States for Rail Service under Section 5 of the Department of Transportation Act."

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0122-0-1-401.

**Obligations:** FY 81 est $47,400,000; FY 82 est $35,000,000; and FY 83 est $20,000,000 requested.

**Range and Average of Financial Assistance:** $100,000 to $3,000,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981: 68 grants approved under the Section 5 program: $2,856,216 for planning; $2,669,782 for subsidy; $446,484 for acquisition; $39,210,072 for rehabilitation; $840,006 for rail facility construction; and $1,414,124 for substitute service.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations were published as 49 CFR Part 266, "Assistance to States for Rail Service under Section 5 of the Department of Transportation Act."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Office of State Assistance Programs, Federal Railroad Administration, 400 7th St., SW, Rm. 5406, Washington, DC 20590. Telephone: (202) 426-1677.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** (1) Purchase of an eligible line of railroad or other rail properties. (2) Rehabilitation and improvement of rail lines and rail facility construction. (3) Substitute service: programs which reduce the cost of lost rail freight service in a manner less expensive than continuing rail service. Projects are approved if the State has analyzed their benefits and costs pursuant to a benefit/cost methodology contained in the State Rail Plan.

**CRITERIA FOR SELECTING PROPOSALS:** The local rail service assistance program is an entitlement program that allocates a specific funding level to each state based on the state's eligible mileage. The order of priority for projects is established by each state in their rail plan. Upon the approval of the rail plan each state may apply for a project that is contained in the approved plan.

## 20.309 RAILROAD REHABILITATION AND IMPROVEMENT—GUARANTEE OF OBLIGATIONS

**FEDERAL AGENCY:** FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title V, Section 511 of the Railroad Revitalization and Regulatory Reform Act of 1976; Public Law 94-210.

**OBJECTIVES:** To (1) provide financial assistance for the acquisition or rehabilitation and improvement of railroad facilities or equipment; and (2) develop new railroad facilities.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Funds received by applicants must be used for acquisition or rehabilitation and improvement of facilities or equipment or development of new railroad facilities. Equipment and facilities include: locomotives; freight cars; track; roadbed and related structures; communication and power transmission systems; signals, yard and terminal facilities; and shop or repair facilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant is defined to mean any railroad or other person, including State and local government entities, which submits an application to the Administrator for the guarantee of an obligation under which it is an obligor. Under this definition of applicant, a government entity may apply for and receive guarantees. However, the policy of FRA is not to guarantee tax exempt obligations unless the applicant can demonstrate compelling reasons why such a guarantee should be extended.

**Beneficiary Eligibility:** The ultimate purpose is to provide the means to rehabilitate and maintain the physical facilities, improve the operations and structure, and restore the financial stability of the railway system of the United States, and to promote the revitalization of such railway system so that this mode of transportation will remain viable in the private sector of the economy and will be able to provide energy-efficient, ecologically compatible transportation services with greater efficiency, effectiveness and economy. Beneficiaries are the users of rail properties which have been acquired or modernized with Federal assistance.

**Credentials/Documentation:** Applicants must submit documentation supporting their status as a common carrier, trustee or other organization obligated for the payment of principal balance of, and any interest on, funds used for purpose of Act. For State and local entities, Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** When applicants have developed plans for a project for which they have decided to seek assistance, that applicant shall notify the FRA Associate Administrator for Federal Assistance at 400 Seventh Street, SW, Washington, DC 20590. A meeting will then be scheduled at which the applicant will present the project and discuss with FRA the information that must accompany the application.

**Application Procedure:** Applications shall be completed in accordance with the procedures and requirements contained in 49 CFR, Part 260.

**Award Procedure:** The Administrator, subject to availability of obligation guarantee authority, will approve projects found to meet the eligibility requirements.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Subject to availability of obligation guarantee authority and Congressional action pursuant to studies mandated by RRRR Act of 1976.

**Appeals:** None.

**Renewals:** Modified applications may be submitted. Financing agreement subject to modification.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funding may be provided for 100 percent of the project cost.

**Length and Time Phasing of Assistance:** Terms and conditions are agreed on by FRA and the applicants. Payment of obligation is required to be made within 25 years from date of execution of financing agreement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly expenditure, progress and cash reports will be required. Other details will be contained in the financing agreement.

**Audits:** Audit of system capability, interim audit and final audit when project activities have been completed. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Each recipient of financial assistance must keep records that will facilitate an effective audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-4411-0-3-401.

**Obligations:** (Loans) FY 81 $8,361,011; FY 82 est $135,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $5,000,000 to $75,000,000; $20,000,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981: Provided guarantee for refinancing of previous obligation and assumed guarantee of obligation previously guaranteed by the United States Railway Association; received two applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR, Part 260.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Office of National Freight Assistance Programs, 400 Seventh St., SW, Washington, DC 20590. Telephone: (202) 426-9657.

**RELATED PROGRAMS:** 20.310, Railroad Rehabilitation and Improvement—Redeemable Preference Shares.

**EXAMPLES OF FUNDED PROJECTS:** Rehabilitation of freight cars and locomotives for Milwaukee Road; Chicago and North Western Transportation Company; Rock Island Railroad. Rehabilitation of track for Missouri-Kansas-Texas Railroad Company.

**CRITERIA FOR SELECTING PROPOSALS:** Administrator must make findings required in section 511(g) of the Act. The findings relate to security for the Government's investment; repayment of the obligation; financing being justified by present and probable demand for rail service; efficient utilization of equipment and an improved ability of the railroad to transport freight or passengers.

## 20.310 RAILROAD REHABILITATION AND IMPROVEMENT—REDEEMABLE PREFERENCE SHARES

**FEDERAL AGENCY:** FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title V, Section 505 of the Railroad Revitalization and Regulatory Reform Act of 1976, as amended; Public Law 94-210.

**OBJECTIVES:** To provide railroads and noncarrier entities with financial assistance for the rehabilitation and improvement of equipment and facilities or such other purposes approved by Secretary.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Funds received by the railroads and noncarrier entities must be used for facilities maintenance, rehabilitation, improvement, acquisitions and other approved purposes. Eligible equipment and facilities include locomotives, freight cars, track roadbed and related structures, communication and power transmission system, signals, yard and terminal facilities, and shop or repair facilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any common carrier by railroad or express as defined in section 1(3) of the Interstate Commerce Act (49 U.S.C. 10102(4)) or noncarrier entity as described in section 505(h) (3) of the Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 825(h)) may apply for assistance.

**Beneficiary Eligibility:** The ultimate purpose is to provide the means to rehabilitate and maintain the physical facilities, improve the operations and structure, and restore the financial stability of the railway system of the United States, and to promote the revitalization of such railway system so that this mode of transportation will remain viable in the private sector of the economy and will be able to provide energy-efficient, ecologically compatible transportation services with greater efficiency, effectiveness and economy.

**Credentials/Documentation:** Railroad applicants must submit documentation supporting their status as a common carrier by railroad and copies of all resolutions of the directors authorizing the issuance of redeemable preference shares; noncarrier entities must submit feasible ownership plans.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** When an applicant has developed plans for a project for which it has decided to seek assistance, that applicant shall notify the FRA Associate Administrator for Federal Assistance at 400 Seventh Street, SW, Washington, DC 20590. A meeting will then be scheduled at which the applicant will present the project and discuss with FRA the information that must accompany the application. An environmental impact assessment is required for this program.

**Application Procedure:** Applications shall be completed in accordance with the procedures and requirements contained in 49 CFR, Part 258.

**Award Procedure:** The Administrator, subject to the availability of funds, will approve projects found to be in the public interest.

**Deadlines:** Obligational authority presently expires on September 30,1982.

**Range of Approval/Disapproval Time:** Within six months after submission of application.

**Appeals:** None.

**Renewals:** Modified applications may be submitted. Schedule of dividend and redemption is fixed by Financing Agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funding may be provided for 100 percent of the project cost.

**Length and Time Phasing of Assistance:** Terms and conditions are agreed on between FRA and the applicants. However, shares shall accrue dividends commencing on the 10th anniversary date of its original issue, shall return not less than 150 percent of par value, be subject to mandatory redemption between the 6th and 11th year and shall be repaid not later than the 30th year except that return shall not be more than railroad's rate of return on total capital when used to fund deferred track maintenance. Funding is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly expenditure, progress and cash reports will be required. Other details to be contained in the financing agreement.

**Audits:** Audit of system capability, interim audit and final audit when project activities have been completed. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Each recipient of financial assistance must keep records that will facilitate an effective audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-4411-0-3-401.

**Obligations:** (Direct Payments) FY 81 $16,283,000; FY 82 est $128,900,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Projects are expected to range from $5,000,000 to $100,000,000; $40,000,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 funded three track projects; received three applications. Expect fiscal year 1982 work season projects to be carried out on tracks of at least ten railroads.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR, Part 258.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address Appendix.

**Headquarters Office:** Office of National Freight Assistance Programs, 400 Seventh St., SW, Washington, DC 20590. Telephone: (202) 426-9657.

**RELATED PROGRAMS:** 20.309, Railroad Rehabilitation and Improvement—Guarantee of Obiligations.

**EXAMPLES OF FUNDED PROJECTS:** Rehabilitation of track - Milwaukee Road; Chicago and North Western Transportation Company; Illinois Central Gulf Railroad Company; Boston and Maine Corporation.

**CRITERIA FOR SELECTING PROPOSALS:** Administrator required to consider three factors in determining if application for assistance is in the public interest: cost of funds available from other sources; public interest in supplementing total railroad funding; and public benefits and costs. Standards for evaluations and determinations set forth in 49 CFR, Part 258.

## 20.500 URBAN MASS TRANSPORTATION CAPITAL IMPROVEMENT GRANTS

### (Capital Grants)

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964; Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To assist in financing the acquisition, construction, reconstruction, and improvement of facilities and equipment for use, by operation, lease, or otherwise, in mass transportation service in urban areas and in coordinating service with highway and other transportation in such areas.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Eligible facilities and equipment include land, buses, other rolling stock, new technological methods and techniques, and other real and personal property needed for an efficient and coordinated mass transportation system. Ordinary governmental or project operating expenses are excluded. Adequate public notice must be given of intent; social and economic impact on environment must be considered; project must be consistent with official plans for comprehensive development of urban areas. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public agencies. Private transportation companies may participate through contractual arrangements with a public agency grantee. Applicant must have legal, financial, and technical capacity to carry out proposed project. Capital funds are also available through the states to private, nonprofit organizations for the purpose of providing transportation services to the elderly and the handicapped.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Resolution by an authorized public body approving the filing for an application; information on labor and relocation; environmental impact statement; legal opinion; coordinated regional planning documentation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, of OMB Circular No. A-95 (revised). An environmental impact assessment is required for this program. An environmental impact statement may also be required upon completion of review of the assessment.

**Application Procedure:** Applications are made to the regional offices of the Urban Mass Transportation Administration. See Catalog appendix for addresses.

**Award Procedure:** The Administrator, UMTA, makes the final decision to approve major projects. UMTA is responsible for providing notification of grant approval to the public body. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Amendments may be granted.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A grant may be made for not more than 80 percent of net project cost.

**Length and Time Phasing of Assistance:** Terms and conditions are contractually agreed on between UMTA and the applicant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Progress reports; (2) construction reports where applicable; (3) final audit report.

**Audits:** (1) Audit report by audit agency of sponsor or CPA as directed by UMTA; (2) interim audits arranged by UMTA; (3) final audit by UMTA, when advised project activities have been completed. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Recipient is required to retain intact, for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $1,925,000,000; FY 82 est $1,680,000,000; and FY 83 est $1,561,000,000.

**Range and Average of Financial Assistance:** $1,216 to $800,000,000; $5,000,000.

**PROGRAM ACCOMPLISHMENTS:** As of the end of FY 81, $13 billion had been obligated under the capital grant program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601.2.; "Program Information for Capital Grants and Technical Studies Grants," "Guidelines for Project Administration." These may be secured at no charge from the UMTA Regional Offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix for addresses.

**Headquarters Office:** Office of Transit Assistance, Office of Grants Assistance, Urban Mass Transportation Administration, 400 7th St. SW, Washington, DC 20590. Telephone: (202) 472-6976.

**RELATED PROGRAMS:** 20.205, Highway Planning and Construction; 20.505, Urban Mass Transportation Technical Studies Grants; 20.507, Urban Mass Transportation Capital and Operating Assistance Formula Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not available.

**CRITERIA FOR SELECTING PROPOSALS:** Not available.

## 20.502 URBAN MASS TRANSPORTATION GRANTS FOR UNIVERSITY RESEARCH AND TRAINING

### (URT Program)

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964; Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To sponsor research studies and training in the problems of transportation in urban areas; to encourage students to seek careers in transit and to increase cooperative interchanges between transit operators and the academic community.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To conduct competent and qualified research and investigations into the theoretical and practical problems of urban transportation, and to provide for the training of persons to carry on further research or to obtain employment in private or public organizations which plan, construct, operate, or manage urban transportation systems. Total value of grants under this program are currently $2,000,000 per annum.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private nonprofit institutions of higher learning, offering baccalaureate or higher degrees.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A formal application outlining in detail the proposed research or training project; detailed delineation of organizations, staff, faculty, and budget. Costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Invitation to submit sent to institutions in fall of year; five copies of application signed by proposed director or authorized representative should be sent to UMTA. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals received are reviewed and evaluated by panels drawn from the Department of Transportation; the Administrator, Urban Mass Transportation Administration, makes the final decision to approve a grant. UMTA is responsible for notification of the grant approval to the recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Submittal date as prescribed by UMTA yearly. Program announcement is published in Commerce Business Daily.

**Range of Approval/Disapproval Time:** Approximately four months.

**Appeals:** Not applicable.

**Renewals:** Continuing support possible based on review of project.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Generally one year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Progress; financial; final, upon completion of project.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular A-110 to ensure that funds have been applied efficiently, effectively, and economically. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Recipient is required to retain intact, for three years following submission of the final expenditure report, pending resolution of audit findings, all product contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $1,800,000; FY 82 est $2,000,000; and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** Up to $85,000; $65,000.

**PROGRAM ACCOMPLISHMENTS:** Over 495 students in the program have gone on to careers directly linked to urban transportation. There have been 400 published research reports, and 150 urban transportation courses added at the grant schools. 95 applications received, 26 awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601.2; and UMTA Circular 4900.1, "Application Instructions for University Research and Training Program," and UMTA Circular 4900.2, "Project Administration Requirements for University Research and Training Grants." These may be secured at no cost from the Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix for addresses.

**Headquarters Office:** Office of Policy Research, Office of Policy, Budget, and Program Development, Urban Mass Transportation Administration, Department of Transportation, 400 7th Street, SW, Washington, DC 20590. Telephone: (202) 426-0080.

**RELATED PROGRAMS:** 20.503, Urban Mass Transportation Managerial Training Grants; 20.504, Mass Transportation Techonology; 20.505, Urban Mass Transportation Technical Studies Grants.

**EXAMPLES OF FUNDED PROJECTS:** Transportation analysis, planning, evaluation, and decision method ("Organizational Alternatives for Metropolitan Transportation Services"); transportation/land use interactions ("Joint Development and Value Capture Research"); transit productivity and efficiency ("Management Performance Audit Guidelines"); Urban Transportation Financing and Pricing ("Equity in Transit Financing"); and Training ("A Program for Upper Level Transit Managers").

**CRITERIA FOR SELECTING PROPOSALS:** 1) Relevance of the proposed research or training to the solution of important transportation problems and to the mission and programmatic needs of UMTA. 2) Professional merit of the proposed research or training. 3) Professional qualifications of the Principal Investigator(s) and the supporting staff. 4) Applicability of the research results to practical solutions.

## 20.503 URBAN MASS TRANSPORTATION MANAGERIAL TRAINING GRANTS

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964, Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To provide fellowships for training of managerial, technical, and professional personnel employed in the urban mass transportation field.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The State, local body, or agency applying for grant under this section shall select persons for fellowships on the basis of demonstrated ability and the potential contribution in the field of efficient mass transportation operation. Fellowships are funded for not more than one year. Funding may be used but is not limited to attendance at transportation-related short courses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public bodies may apply for their employees or those of urban transit companies operating in their areas.

**Beneficiary Eligibility:** Employees of public bodies or employees of private urban transit companies operating in their areas. The Fellow selected must meet the requirements of the institution he wishes to attend.

**Credentials/Documentation:** Name, title, and resume of potential Fellow; his position; justification for selection; budget; and course description. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Approval by university; The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submit documented information to Urban Mass Transportation Administration.

**Award Procedure:** The Administrator, Urban Mass Transportation Administration, makes the decision to approve a grant. UMTA is responsible for providing notification of grant approval to the public body.

**Deadlines:** Sixty days prior to start of course.

**Range of Approval/Disapproval Time:** Fourteen to 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grant assistance is up to $24,000 per fellowship or 75 percent of eligible project cost, whichever is less, with a limit of $5,000 per Fellowship recipient attending approved short courses.

**Length and Time Phasing of Assistance:** Fellowships are for one year or less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Recipient of fellowship may be requested to evaluate the training exercise.

**Audits:** Desk audits are performed on a selective basis. Under the total audit concept, audits wll be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Recipient is required to retain intact, for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $1,000,000; FY 82 est $1,250,000; and FY 83 est $1,500,000.

**Range and Average of Financial Assistance:** $1,091 to $12,000; $5,000.

**PROGRAM ACCOMPLISHMENTS:** Thirteen short courses have been endorsed, starting in 1982. Publicity is limited due to legislative control on the annual appropriation of funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601.2; "Program Information for Managerial Training Grants;" "List of endorsed short courses;" "Guidelines for Project Administration." These may be secured at no cost from the Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Office of Transportation Management, Urban Mass Transportation Administration, Department of Transportation, 400 7th Street, SW, Washington, DC 20590. Telephone: (202) 426-9274.

**RELATED PROGRAMS:** 20.502, Urban Mass Transportation Grants for University Research and Training; 20.504, Mass Transportation Technology; 20.505, Urban Mass Transportation Technical Studies Grants.

**EXAMPLES OF FUNDED PROJECTS:** To attend Northeastern University, 30 fellowships were awarded; an average of 25 are used to attend training offered by thirteen different institutions. Each such fellowship shall not exceed $5,000 to the grant recipient.

**CRITERIA FOR SELECTING PROPOSALS:** Training organizations respond to a Solicitation of Interest to be published periodically in the Federal Register. During the past and present years, transit authorities have selected persons for such fellowships on the basis of demonstrated ability and for the contribution which they can reasonable be expected to make to an efficient mass transportation operation. The Surface Transportation Act of 1978 required the agency to develop new guidelines and application procedures for selecting fellowship proposals. New instructions are currently being developed for circular coordination and comment.

## 20.504 MASS TRANSPORTATION TECHNOLOGY (R & D Program)

**FEDERAL AGENCY: URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION**

**AUTHORIZATION:** Urban Mass Transportation Act of 1964, Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** (1) To improve the efficiency, effectiveness, and productivity of transit services and equipment; (2) to provide information that will contribute to better decision at Federal, State, and local levels regarding the planning, design, conservation, equipping, operation, maintenance, and financing of public transportation; and (3) to promote national priorities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** For development and deployment of new or innovative systems to carry people within metropolitan areas economically, speedily, safely, and with minimum fuel consumption and pollution. Projects must be based on a formal experimental design which measures results against objectives. The expected results of a research development, or demonstration project must have widespread applicability. No restrictions on use. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (1) Grants and Cooperative Agreements: Public bodies or nonprofit institutions only. (2) Contracts: Determined by evaluation of bids responsive to Requests for Proposals (RFPs).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Grants and Cooperative Agreements: Initial proposal should include project objectives, background, and project description including time schedule, budget, and applicant's organizational experience. Legal opinion, and compliance to labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular A-21 for nonprofit organizations. (2) Contracts: These are set forth in the RFP. While there is some variation, they usually relate to qualifications of the organization and its personnel, its facilities, financial capabilities and resources, and the adequacy of the proposal for compliance with the standard contract provision concerning subcontracting with minority enterprises.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For grants and cooperative agreements, the standard application forms as furnished by the Federal agency and required by OMB Circulars A-102 and A-110 must be used for this program. An environmental impact assessment may be required.

**Application Procedure:** (1) Grants and cooperative agreements: Applicant submits initial informal proposal; the Administration, after review, will advise whether or not to submit formal application. Potential applicants should follow guidance in UMTA C 6100.1, "Application Instructions for Section 6 Research, Development, and Demonstration (RD & D) Grants and Cooperative Agreements." This circular can be obtained from the Office of Administrative Services (UAD-40), Urban Mass Transportation Administration, Room 6421, 400 7th St., SW, Washington, DC 20590. (2) Contracts: Contract awards are made in accordance with Federal Procurement Regulations. The procedure is described in DOT publication "Contracting with the U.S. Department of Transportation". Another publication explaining the specific application of these procedures to UMTA's program, entitled "Federal Grant and Procurement Contracts for Research and Development in Urban Mass Transportation," can be obtained from UMTA's headquarters office at the address provided below. This program is subject to the provisions of OMB Circulars A-102 for State and local governments and A-110 for nonprofit organizations.

**Award Procedure:** The Administrator, Urban Mass Transportation Administration, makes the final decision to approve a project. UMTA is responsible for notification of grant approval to recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Although projects may be undertaken through grants and cooperative agreements, most projects are funded by direct procurement and inter-agency transfer of funds.

**Deadlines:** No fixed or standard deadlines.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The extent of the non-Federal contribution varies. The Federal Government will weigh the scope and cost of the proposed project in relation to anticipated value of results and to total funds available. Grants have ranged from Federal share of 50 to 100 percent.

**Length and Time Phasing of Assistance:** Projects are approved for varying specific periods.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Quarterly financial; (2) quarterly progress; (3) interim and final reports.

**Audits:** (1) Audit report prepared by audit agency of the sponsor or independent CPA, at request of UMTA; (2) interim, at any time; (3) final audit. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under

GAO guidelines, Standards for Audit of Governmental Ornizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Project sponsor shall retain for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $18,224,000; (Contracts and Interagency Transfers) FY 82 $45,119,000; and FY 83 est (Grants and Contracts) $39,500,000.

**Range and Average of Financial Assistance:** Information not available.

**PROGRAM ACCOMPLISHMENTS:** (1) Initiated the New Business Equipment Introduction Program. (2) Initiated the bus and bus subsystem technology program. (3) Developed a 2-way digital communications, command, and control system for use by bus systems. (4) Conducted a study which produced criteria for assessing trade-offs between buying new rail transit vehicles and rehabilitating old ones. (5) Initiated development of hardware for fare collection equipment, winterization equipment, AC propulsion, static auxiliary power supplies, and door equipment. (6) Undertook a program to help reduce the cost of maintaining and rehabilitating existing rail tunnels. (7) Initiated R&D projects to develop contracting and management criteria for transit authorities. (8) Conducted safety and system assurance and system safety reviews of various transit properties. (9) Investigated the safety problems of trucks, handbrakes, and DC power cables in the New York City Transit Authority R-46 cars. (10) Initiated procedures for development of fire safety countermeasures and evaluation of recommended fire safety practices for material selection for transit vehicles. (11) Conducted on-site technical and operational assessments of light rail transit, cable and electric propulsion technologies, and microprocessors used for vehicle control. (12) Completed a study of the feasibility of implementing a regional Automated Train Information System (ATIS) using a common data base shared by several properties in a metropolitan area. (13) Selected for funding ten projects submitted under the National Cooperative Transit R&D Program. (14) Conducted work to document the ability of wheelchair users to traverse various horizontal and vertical gaps found in high platform rapid rail systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Associate Administrator for Technology Development and Deployment, Urban Mass Transportation Administration, Department of Transportation, 400 7th Street, SW, Washington, DC 20590. Telephone: (202) 426-4052.

**RELATED PROGRAMS:** 20.502, Urban Mass Transportation Grants for University Research and Training; 20.506, Urban Mass Transportation Demonstration Grants; 20.205, Highway Planning and Construction.

**EXAMPLES OF FUNDED PROJECTS:** 1) Demonstration of an Automated Telephone Information System. 2) Development of energy conserving propulsion systems for transit buses. 3) Development of nondestructive tunneling techniques for determining the structural integrity of old tunnels. 4) Development and implementation of System Safety Program Plans by new and existing rail transit authorities.

**CRITERIA FOR SELECTING PROPOSALS:** The primary criteria employed in evaluating proposed R & D projects (both solicited and unsolicited) are: potential contribution to R & D program plan and objectives; potential for wide national application; extent of the potential information to be developed; degree of innovation incorporated; and potential for eventual investment by the private sector or by UTMA's Capital Assistance Program (capital facilities and equipment only).

## 20.505 URBAN MASS TRANSPORTATION TECHNICAL STUDIES GRANTS

### (Tech Studies)

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964, Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To assist in planning, engineering, and designing of urban mass transportation projects, and other technical studies in a program for a unified or officially coordinated urban transportation system.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Activities assisted under this section may include preparation of long-range transportation plans and short-range transportation systems management plans including transportation improvement programs with annual element; studies related to management, operations, capital requirements, and economic feasibility; preparation of engineering and architectural surveys, plans, and specifications; and other related activities in preparation for the construction, acquisition, or improved operation of mass transportation systems, facilities, and equipment. Areawide comprehensive planning must be adequate. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and other local public bodies and agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Authorizing documentation; legal documentation; financial statement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application for a grant should be addressed to the appropriate Regional Office of the Urban Mass Transportation Administration and should contain the following elements or exhibits: (1) identifying data on applicant; (2) legal information; (3) project budget and assurance of local share; (4) ability to carry out study; and (5) unified work program.

**Award Procedure:** All projects are approved by the appropriate Regional Administrator. UMTA is responsible for notification of grant approval to the public body. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Four to eight weeks.

**Appeals:** Not applicable.

**Renewals:** Amendments may be granted.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This is a discretionary program and grants may be made for 80 percent of the net project cost. Preliminary allocation of funds is based on a weighted population distribution which recognizes the increased complexity of the planning process in larger metropolitan areas. All urbanized areas and states are eligible to participate in this program.

**Length and Time Phasing of Assistance:** Length of time is spelled out at time of approval.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Quarterly Federal Cash Transaction reports for Letter of Credit quarterly progress; (2) financial report upon completion of the project; (3) evaluation report (1 year after completion).

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmetal organizations, Programs, Activities, and Functions, and for programs covered by A-102, Attachment P.

**Records:** Project sponsor is required to retain intact, for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $45,000,000; FY 82 est $54,000,000; and FY 83 est $46,000,000.

**Range and Average of Financial Assistance:** $10,000 to $6,500,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 a total of $45 million in technical studies projects were approved. Multimodal transportation planning studies are emphasized through coordinated funding with other DOT administrations. Refinement of the transit elements of long-range plans and an expansion of short-range planning for improvements to the existing urban transportation system are also emphasized including special planning efforts for transportation of elderly and handicapped persons. Support for transit planning to meet air quality and energy crisis objectives will continue to be considered important.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601.2; "Project Information for Capital Grants and Technical Studies Grants;" "Guidelines for Project Administration." These may be secured at no cost from the Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Director, Office of Planning Assistance (UPM-10), Office of Planning, Management, and Demonstrations, Urban Mass Transportation Administration, Department of Transportation, 400 7th Street, SW, Washington, DC 20590. Telephone: (202) 426-2360.

**RELATED PROGRAMS:** 20.103, Airport Planning Grant Program; 20.205, Highway Planning and Construction; 20.500, Urban Mass Transportation Capital Improvement Grants; 20.502, Urban Mass Transportation Grants for University Research and Training; 20.503, Urban Mass Transportation Managerial Training Grants; 20.507, Urban Mass Transportation Capital and Operating Assistance Formula Grants.

**EXAMPLES OF FUNDED PROJECTS:** (1) MPO Recipient: The Metropolitan Council of Twin Cities area received a planning grant to support the transportation planning process in the Minneapolis-St. Paul urbanized area for fiscal year 1981. (2) State Recipient: The Iowa Department of Transportation received a planning grant to support fiscal year 1981 state level work activities in the area of public transportation. (3) Special Studies: The Massachusetts Bay Transportation Authority received a grant for a prototype transit planning data collection study. This special studies project is designed to develop a system for collection of data to enable continued monitoring of bus system operations which could then be emulated by other agencies elsewhere in the nation. This is an area of great importance to the transit industry, as there is great need for an efficient manner for collecting such data. Technical grants were approved for funding during fiscal year 1981 as part of the approved unified planning work programs of urban areas.

**CRITERIA FOR SELECTING PROPOSALS:** Technical studies projects are selected for funding based on a comprehensively and officially coordinated planning work program developed by the urbanized areas. Majority of the funding is awarded to Metropolitan Planning Agencies for pass through to various States, local government and public bodies, and transit authorities within their jurisdictions. In addition to traditional and ongoing planning activities, special emphasis is given to proposals for improved transportation system management, alternatives analysis for major new transit investments, supporting urban initiative programs and promoting joint urban development projects, increased planning for elderly and handicapped services, integrating air quality and energy conservation efforts, as well as short-range transportation system management and special studies projects.

## 20.506 URBAN MASS TRANSPORTATION DEMONSTRATION GRANTS

### (Service and Methods Demonstration Program)

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964, Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To demonstrate new, innovative techniques and methods in an operational environment that will reduce urban transportation problems and improve mass transportation service.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** For demonstration of techniques and methods to gain better use of existing hardware technology in transportation, carry people and goods within metropolitan areas speedily, safely, and in a manner that will contribute to sound city planning. Projects must be based on a formal experimental design which measure results against objectives. The expected results of a research project must have widespread applicability. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants to conduct operational tests must be to a legally constituted public agency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Initial proposal should include project objectives, background, and project description including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance to labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-21 for nonprofit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental impact assessment is required in some instances. An environmental impact statement may also be required upon completion of review of the assessment. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applicant submits initial proposal; the Administration, after review, will advise whether or not to submit formal application. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Administrator, or Associate Administrator, Urban Mass Transportation Administration, makes the final decision to approve a project. UMTA is responsible for notification of grant approval to recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The extent of the non-Federal contribution is not set. The Federal Government will weigh the scope and cost of the proposed project in relation to anticipated value of results and to total funds available. Grants have ranged from Federal share of 50 to 100 percent.

**Length and Time Phasing of Assistance:** Projects are approved for varying specific periods.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Quarterly financial; (2) quarterly progress; (3) final and interim reports.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Project sponsor shall retain for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants and contracts) FY 81 $11,967,000; FY 82 est $11,000,000; and FY 83 est $10,000,000.

**Range and Average of Financial Assistance:** None established.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the UMTA demonstration program helped improve urban mobility through grants and contracts involving bus priorities, paratransit, downtown circulation and innovations in special services for elderly and handicapped.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601; "Program Information for R D & D Projects;" "Guidelines for Project Administration." These may be secured at no charge from the headquarters office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Director, Office of Service and Methods Demonstrations, Urban Mass Transportation Administration, Department of Transportation, 400 7th St., SW Washington, DC 20590. Telephone: (202) 426-4995.

**RELATED PROGRAMS:** 20.504, Mass Transportation Technology.

**EXAMPLES OF FUNDED PROJECTS:** (1) Northeastern Illinois Regional Transportation Authority received a grant to serve as a funding agent for six paratransit brokerage demonstrations in suburban communities. (2) Port Authority of Allegheny County received funding to test the paratransit agent/broker concept in the Pittsburgh area for the coordination of ride-sharing services for the elderly and handicapped consumers. (3) An Auto Restricted Zone project in Boston, Massachusetts was funded to increase retail sales in the CBD and improve transit ridership and service level.

**CRITERIA FOR SELECTING PROPOSALS:** Examples of factors considered in selecting demonstration sites are: (1) Local and/or State funding is either available to help with the implementation of the demonstration, or at least continue a successful project after the demonstration period. (2) Service area and type of service offered by the demonstration would be such that the project would have a significant impact on a particular population or rider group. (3) Existing planning process is adequate, and it is unlikely that results will be disruptive to the transportation planning processes in the demonstration area. (4) Existing tranportation operators are capable and willing to participate in the project. Organization and staffing are adequate for effective execution of the project. (5) Adequate technical information about the site is available and specifically included in the project proposals. (6) Impact on other transportation modes, such as taxi services, should be minimal, or a well-defined strategy to integrate the modes should be included in the demonstration proposals. (7) Area characteristics, such as population density, land use patterns, traffic corridors, location of major activity centers, etc., are suitable to the type of demonstration proposed. (8) There is minimal jurisdictional or local controversy, dispute, etc., within the proposed service area, or between State DOTs, regulatory authorities, urban transportation units and local jurisdictions. (9) Legal and institutional status of the applicant is satisfactory.

## 20.507 URBAN MASS TRANSPORTATION CAPITAL AND OPERATING ASSISTANCE FORMULA GRANTS

### (Formula Grant Program)

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964; Public Law 88-365, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To assist in financing the acquisition, construction, and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, and the payment of operating expenses to improve or to continue such service by operation, lease, contract or otherwise.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Eligible capital assistance projects may include the acquisition, construction or reconstruction of facilities and equipment for use in mass transportation, including designing, engineering, locating, surveying, mapping, acquisition of rights-of-way, relocation assistance, and acquisition and replacement of housing sites. An operating assistance project represents the eligible operating expenses incurred or projected during a local fiscal year by a mass transportation operator or system serving an urbanized area. Projects must be developed through a continuing cooperative and comprehensive urban transportation planning process, resulting in plans and programs for a unified or officially coordinated urban transportation system consistent with the planned development of the urban area. Under the Surface Transportation Assistance Act of 1978 (STAA), signed into law on November 6, 1978, the formula grant program is continued, expanded and revised. For the first time, Title III of the STAA identified four distinct elements of the formula grant program, establishing separate budgetary accounts per element. The four distinct elements of the program are: (1) Base Capital and Operating Assistance - This element comprises the bulk of federal assistance under the formula grant program for capital projects and operating cost assistance. (2) Supplemental Capital and Operating Assistance - This element is an extension of element(1) above, though giving greater weight to urbanized areas greater than 750,000 in population. (3) Commuter Rail/Fixed Guideway Capital and Operating Assistance - This element specifically authorizes the apportionment of funds for capital or operating assistance projects involving commuter rail or other fixed guideway systems. (4) Bus and Bus Related Capital Assistance - This element supports the purchase of buses and related equipment as well as the construction of bus related facilities. There was a maintenance of effort requirement that the operating subsidy from state and local non-farebox sources during the current project year had to be at least equal to the average of the subsidies for the two previous project years. This requirement only applied to money apportioned prior to September 30, 1981.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Funds will be made available to urbanized areas (as defined by the Bureau of the Census) through designated recipients which must be public entities and legally capable of receiving and dispensing Federal funds. The Governor, responsible local officials, and publicly-owned operators of mass transportation services must jointly designate the recipient(s) for urbanized areas of 200,000 or more population. The Governor or his designee is the recipient for urbanized areas of 50,000 to 200,000 population. Recipients must submit a program of projects to UMTA and the Governor through the Metropolitan Planning Organization as part of the annual elements of the areawide Transportation Improvement Plan; submit project applications to UMTA; enter into formal project agreements with UMTA; and certify that a public hearing has been conducted.

**Beneficiary Eligibility:** Publicly and privately owned operators of mass transportation services.

**Credentials/Documentation:** Requested documentation; annual programming of projects, coordinated regional planning documentation, legal, technical, and maintenance of effort, (improved or continued service), labor, public hearing. Costs will be determined in accordance with OMB Circular No. A-87 except as notified by UMTA pursuant to Section 5(d) (2) of the Act.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** There is no preapplication stage for projects. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications for acquisition or construction of facilities and equipment are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact assessment is required for this program. An environmental impact statement may also be required upon completion of review of the assessment.

**Application Procedure:** Application Instructions are available from Urban Mass Transportation Administration, Washington, DC 20590.

**Award Procedure:** The Administrator, UMTA, makes the final decision to approve projects. UMTA is responsible for providing notification of grant award to the public body. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Amendments may be granted subject to the availability of funds for the urbanized area.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal grant for any construction project shall not exceed 80 percent of the cost of the project. The Federal grant for any project for the payment of subsidies for operation expenses shall not exceed 50 percent of the cost operating expense projects. This program has maintenance of effort (MOE) requirements, see funding agency for further details. It also operates under a statutory formula as prescribed in 49 U.S.C. 1604. The statistical factors used for allocation include 1) population of urbanized areas - source: 1970 Census; 2) population density - source: 1970 Census; 3) commuter rail train miles and route miles - source: local transit operator reports to regional offices; and 4) fixed guideway route miles - source: local transit operator reports to regional offices. The statistical factor used for eligibility is the population of an area, as determined by the Census Bureau's definition of "urbanized area".

**Length and Time Phasing of Assistance:** Sums apportioned under the formula grant program are available for obligation by the Governor or designated recipient for a period of three years following the close of the fiscal year for which such sums are apportioned. Any amounts remaining unobligated at the end of this period will be reapportioned within the same activity for which they were originally appropriated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1)Progress reports; (2)construction reports where applicable; and (3)final audit report.

**Audits:** (1)Audit report by audit agency of sponsor or CPA as directed by UMTA; (2)interim audits arranged by UMTA; and (3)final audit by UMTA, when advised that project activities have been completed. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Recipient is required to retain intact, for three years following submission of the final expenditure report, sending resolution of audit findings, all project contract documents, financial records and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $1,490,824,354; FY 82 est $1,365,200,000; and FY 83 est $1,165,000,000.

**Range and Average of Financial Assistance:** Varies according to local programming of available formula funds and the level of operating expenses incurred.

**PROGRAM ACCOMPLISHMENTS:** During the period November 26, 1974 through September 30, 1981, UMTA made formula grants for over $6.1 billion. Of this amount, approximately $4.9 billion went for operating assistance, and approximately $1.2 billion went for capital assistance projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601.2; "Program Information for Capital Grants and Technical Studies Grants," "Guidelines for Project Administration," "Interim Application Instructions for Section 5 Capital and Operating Assistance Projects." These may be secured at no charge from the UMTA Regional Offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix for addresses.

**Headquarters Office:** Office of Transit Assistance, Urban Mass Transportation Administration, 400 7th St., SW, Washington, DC 20590. Telephone: (202) 472-6976.

**RELATED PROGRAMS:** 20.205, Highway Planning and Construction; 20.500, Urban Mass Transportation Capital Improvement Grants; 20.505, Urban Mass Transportation Technical Studies Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not available.

**CRITERIA FOR SELECTING PROPOSALS:** Not available.

## 20.509 PUBLIC TRANSPORTATION FOR NONURBANIZED AREAS

**FEDERAL AGENCY:** FEDERAL HIGHWAY ADMINISTRATION (FHWA) AND URBAN MASS TRANSPORTATION ADMINISTRATION (UMTA), DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 18 of the Urban Mass Transportation Act of 1964, as amended; 49 U.S.C. 1601 et seq.

**OBJECTIVES:** To improve, initiate, or continue public transportation service in nonurbanized areas by providing financial assistance for the acquisition, construction, and improvement of facilities and equipment and the payment of operating expenses by operating contract, lease, or otherwise.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Section 18 funding may be used for eligible construction, project administration, and operating expenses needed to provide efficient and coordinated public transportation service in nonurbanized areas. Funds may also be used for user side subsidies for nonurbanized public transportation. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this Section with other transportation services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible recipient may include State agencies, local public bodies and agencies thereof, nonprofit organizations, Indian tribes, and operators of public transportation services, including intercity bus service, in rural and small urban areas. Urbanized areas, as defined by the Bureau of the Census, are not eligible.

**Beneficiary Eligibility:** The general public, both users and nonusers, and private and public providers of public transportation in nonurbanized areas.

**Credentials/Documentation:** Costs will be determined in accordance with the Emergency Regulations for this section published December 13, 1978, and subsequent updates, including the Final Regulation to be issued during summer, 1981. The documents and procedures required of applicants are specified in the above regulations and in the State's application procedure/management plan. Governors or their designated plan review agencies must be given an opportunity to review the State plan pursuant to Part III, Attachment A, of OMB Circular A-95 (Revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applicant should submit application to the State agency designated by the Governor. This agency will evaluate and select eligible applicants and submit projects to the Federal Highway Administration that reflect a fair and equitable distribution of funds.

**Award Procedure:** The Federal Highway Administration approves projects. FHWA is responsible for providing notification of approval to the State designated agency. Notification of awards must be made to the State's A-95 Agency.

**Deadlines:** As prescribed by the State agency designated to administer the Section 18 program.

**Range of Approval/Disapproval Time:** As precribed by the State agency designated to administer the Section 18 program.

**Appeals:** Interested persons are afforded the opportunity of a public hearing, and there must be a process to hear disputes and resolve conflicts identified by private providers.

**Renewals:** As determined by the designated State agency.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program operates under a statutory allocation formula as prescibed in 49 U.S.C. 1614. The Federal share for eligible construction and project administration costs shall not exceed 80 percent of these costs. The Federal share of the eligible operating deficit or uses side subsidy deficit shall not exceed 50 percent. Up to one-half of the local share may come from unrestricted Federal funds.

**Length and Time Phasing of Assistance:** Funds will be annually apportioned to the States. Sums apportioned shall be available for obligation by the State designated agency for a period of three years following the close of the fiscal year for which sums are apportioned, and amounts remaining unobligated at the end of such period shall be apportioned among the States for the succeeding fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As requested by the State and Federal agencies administering the program.

**Audits:** (1) Pre-award audit for grants exceeding $50,000; (2) Final audit at completion of project; (3) and as otherwise required by State agency administering the program. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Recipient is required to retain intact, for three years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** FHWA: 20-8102-0-7-401; UMTA: 69-1119-0-1-401.

**Obligations:** (Grants) FY 81 $73,148,310; FY 82 est not presently available; and FY 83 est $43,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 825, "Emergency Regulations for Public Transportation for Nonurbanized Areas, December 13, 1978", and updates, including the final regulation to be issued in summer, 1981.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for the address of Federal Highway Administration and Urban Mass Transportation Administration local and/or Regional Offices. State Designated Agency: The Governor in each State has designated a State agency to administer the Section 18 program. This should be the first contact point. Division and Regional Offices: A person from each Federal Highway Division and Urban Mass Transportation Administration Regional Office is available to answer questions about Federal regulations related to the Section 18 program.

**Headquarters Office:** Federal Highway Administration Rural and Small Urban Areas, Rural and Small Urban Public Transportation Branch, 400 7th St., SW, Washington, DC 20590. Telephone: (20) 426-0153; Urban Mass Transportation Administration, Office of Grants Assistance (UTA-10), 400 7th St., SW, Washington, DC 20590. Telephone: (202) 472-6976.

**RELATED PROGRAMS:** 20.500, Urban Mass Transportation Capital Improvement Grants; 20.507, Urban Mass Transportation Capital and Operating Assistance Formula Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** As described by the State designated agency in its procedures or state management plan.

## 20.510 URBAN MASS TRANSPORTATION PLANNING METHODS RESEARCH AND DEVELOPMENT

### (Urban Transportation Planning System - UTPS)

**FEDERAL AGENCY:** URBAN MASS TRANSPORTATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Urban Mass Transportation Act of 1964, as amended, Section 6

**OBJECTIVES:** To develop, demonstrate, and disseminate improved transportation planning and transit operations analysis methods, both computerized and manual.

**TYPES OF ASSISTANCE:** Project Grants; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** For research, development, and demonstration of new or improved methods for use in planning or enhancing urban transportation systems.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments and nonprofit organizations for grants. No limitation for technical information, or training.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Unsolicited proposals for grants and contracts should include project objectives, background and project description, including qualifications of the firm, time schedule and budget. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-21 for non profit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circulars No. A-102 or A-110 must be used for this program. Applications are subject to State and areawide clearinghouse reviews pursuant to procedures in Part 1, Attachment A of OMB Circular No. A-95 (Revised). This program is subject to the provisions of OMB Circular No. A-110.

**Application Procedure:** After approval by the Administration of the proposal, prospective grantees should follow provisions of appropriate OMB Circular. Standard Form 424 and appropriate agency proceedings are required for grants. For contracts, submission of an unsolicited proposal will not restrict the competitiveness of the award process.

**Award Procedure:** The Associate Administrator for Planning, Management and Demonstrations makes the final decision to approve a grant project. All contracts will undergo the standard procurement procedure. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. UMTA is also responsible for the notification of the grant award to the recipient.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies.

**Appeals:** Not Applicable.

**Renewals:** Not Applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Varies.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** (1) Quarterly financial, (2) quarterly or monthly progress; and (3) final and interim.

**Audits:** (1) Initial report prepared by audit agency of sponsor, HEW, DCAA or independent CPA, at request of UMTA; (2) interim, as required by UMTA; and (3) final. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Project agency shall retain for three years following submission of final expenditure report, the pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1119-0-1-401.

**Obligations:** FY 81 $3,800,000; FY 82 est $3,800,000; and FY 83 est $4,000,000.

**Range and Average of Financial Assistance:** None established.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the ability to analyze short - range bus operations was added to UTPS. Several planning case studies, user guides, and reference books were produced. A major thrust to exploit microcomputer technology in all areas of transportation planning and transit operations was initiated. New training courses were conducted.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 601; "Program Information for R&D Projects," Planning Method and Support Program Summary; Guidelines for Project Administration. Available upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Office of Planning Methods & Support, UPM-20, Urban Mass Transportation Administration, Department of Transportation, 400 7th Street, SW, Washington, DC 20590.

**RELATED PROGRAMS:** 20.205, Highway Planning, and Construction; 20.505, Urban Mass Transportation Technical Studies Grants; 20.506, Urban Mass Transportation Demonstration Grants.

**EXAMPLES OF FUNDED PROJECTS:** (1) MIT received grants to develop a land-use model for UTPS and to research planning methods utilizing readily available data and operable on programmable desk calculators. (2) Rhode Island DOT received a grant to demonstrate a computerized Transit Information System. Comsis Corp. received a contract for converting the TIS software to UTPS standards. (3) Portland Tri-Met and Seattle Metro received cooperative agreements to develop and demonstrate transit operation planning software.

**CRITERIA FOR SELECTING PROPOSALS:** Examples of evaluation criteria are: (1) qualifications of firm, agency or university as well as project staff, (2) current interest or need in area of proposed effort; (3) opportunity to extend existing state-of-the-art; (4) technical adequacy of proposal; (5) competitive nature of proposals ; and (6) ability of project results to directly benefit the transportation planning community.

# NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

## 20.600 STATE AND COMMUNITY HIGHWAY SAFETY

**FEDERAL AGENCY:** NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION/FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Highway Safety Acts of 1966, as amended and supplemented, which is codified as Chapter 4, Title 23, U.S. Code.

**OBJECTIVES:** To provide a coordinated national highway safety program to reduce traffic accidents, deaths, injuries, and property damage.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for problems identified in the areas of motor vehicle inspection, vehicle registration, motorcycle safety, driver education, driver licensing, traffic codes and laws, traffic courts, alcohol in relation to highway safety, emergency medical services, traffic records, highway design (excluding construction and maintenance), traffic engineering services, identification and surveillance of accident locations, pedestrian and bicycle safety, police traffic services, debris hazard control and cleanup, accident investigation, school bus safety, community support and planning, and administration of programs. FHWA funds may be used to fund the installation of certain regulatory and warning devices. Law provides that at least 40 percent of Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, federally recognized Indian tribes, the District of Columbia, American Samoa, the Northern Marianas, Guam, the Virgin Islands and Puerto Rico highway safety programs, approved by the Secretary and in accordance with his uniform program area standards, which are available from NHTSA or FHWA Headquarters Offices.

**Beneficiary Eligibility:** Political subdivisions, through the State Highway Safety Agencies.

**Credentials/Documentation:** State Highway Safety plan approved by the agency is required. Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State plan due date is August 1.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** NHTSA Regional Administrators and FHWA Division Administrators review each state's Highway Safety Plan and prepare an appropriate environmental impact statement. This program is exempt from the standard application forms required by OMB Circular No. A-102. Assistance from NHTSA and FHWA is continuously available to participants in this program.

**Application Procedure:** Submission of Highway Safety Plan covering State and community highway safety activities for the year to NHTSA regional offices and FHWA division offices.

**Award Procedure:** Awards are made by NHTSA Regional Administrators and FHWA Division Administrators. Notification of awards is made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Highway Safety Plans must be submitted by August 1 each year.

**Range of Approval/Disapproval Time:** Two months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 75 percent apportioned on total resident population; 25 percent apportioned against public road mileage in states. Federal share shall not exceed 75 percent or applicable sliding scale. Federal Revenue Sharing Funds may be used as matching funds. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Federal share is reimbursed on claims submitted in monthly vouchers covering costs incurred. Some participants have converted to the Letter of Credit method. Funds placed under obligation are available until expended.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States are required to submit annual program reports to the Federal Highway Administration and to the National Highway Traffic Safety Administration.

**Audits:** Periodic audits should be made as part of the recipient's system of financial management and internal control, to meet terms and conditions of grants and other agreements. NHTSA and FHWA review operations to test recipients internal control. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Records relating to the program shall be retained for a period not less than three years from the date of submission of final financial report.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-8019-0-7-401; 69-0651-0-1-401.

**Obligations:** (Grants) FY 81 $194,852,000; FY 82 $97,615,000; and FY 83 est $77,000,000.

**Range and Average of Financial Assistance:** $488,365 to $8,461,207; $1,743,125.

**PROGRAM ACCOMPLISHMENTS:** The federally assisted State and community Highway Safety programs have significantly contributed to stemming and leveling out the 1960-1966 sharp rise in traffic deaths. The fatality rate per hundred million passenger miles has been reduced from 5.5 in 1967 to 3.26 in 1979. This has been achieved in spite of more cars, more drivers and more miles traveled on our Nation's highways. All eligible applicants received grants in fiscal year 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Highway Safety Program Manuals," prices vary from $1.55 to $3.20; Manual on Uniform Traffic Control Devices; Handbook of Highway Safety Design and operating Practice. Available from U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog address appendix.

**Headquarters Office:** Adele Spielberger, Director, Office of State Program Assistance, Traffic Safety Programs, National Highway Traffic Safety Administration, Washington, DC 20590. Telephone: (202) 426-0068. Director, Office of Highway Safety, Federal Highway Administration, Washington, DC 20590. Telephone: (202) 426-1153 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 13.284, Emergency Medical Services; 13.287, Grants for Training in Emergency Medical Services; 20.205, Highway Planning, and Construction.

**EXAMPLES OF FUNDED PROJECTS:** Selective traffic enforcement programs, both at the State and local level - Funds were used for equipment (police vehicles, communications, speed detection devices, breath testing devices, etc.), training of police personnel, and overtime salaries. Upgrading of Emergency Medical Services at the local level - Funds were used for ambulance purchase, training of ambulance attendants and drivers, improved ambulance medical equipment, survey of EMS needs, and salaries for statewide EMS coordinators. Innovative programs to reduce alcohol-related accidents - Funds were used for studies to identify the magnitude of the problem, personnel services (police, investigators, and court personnel), equipment (breath testing devices, vehicles), and training of involved personnel to detect the drinking driver and to use testing equipment. Traffic records system improvement projects - Funds were used for survey of needs and requirements, system designs, system implementation, ADP equipment and supplies, traffic records, personnel, and training. Driver education improvement projects to make driver education available to all eligible students - Funds were used for curriculum development, driver simulators, construction of driving ranges, audio/visual equipment, personnel costs, and training for instructors. Traffic engineering services provided to cities and local communities to identify and improve the safety of their roads - Funds were used for personnel services, training, and necessary equipment.

**CRITERIA FOR SELECTING PROPOSALS:** The Federal/State relationship for the highway safety grant program is a partnership. Each State is given flexibility in the administration of its own highway safety program. Federal funds are obligated in support of a highway safety program based on problems identified by the State. States have considerable latitude in determining projects upon which they spend their Federal monies.

# RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

## 20.700 GAS PIPELINE SAFETY

**FEDERAL AGENCY:** MATERIALS TRANSPORTATION BUREAU, RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Natural Gas Pipeline Safety Act of 1968, Public Law 90-481, 49 U.S.C. 1671; as amended by Public Law 92-401, 86 Stat. 616; Public Law 93-403, 88 Stat. 802; and Public Law 94-477, 90 Stat. 2073; and Title I of the Pipeline Safety Act of 1979, Public Law 96-129, 93 Stat. 989.

**OBJECTIVES:** To develop and maintain State gas pipeline safety programs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Eligible programs will cover such areas as inspection and testing of gas pipelines as well as related travel, training, and research. Funds must be expended for personnel, equipment, and activities reasonably required for the gas pipelines safety program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The Department provides Federal matching funds to any State agency with a certificate under Section 5(a) of the Act; an agreement under Section 5(b) of the Act, or to any State acting as a DOT agent on interstate gas pipelines. State must agree that the aggregate expenditures of State funds, exclusive of Federal funds, on the gas pipeline program for the calendar year to which the Federal funds apply are/not less than the average level of such expenditures on the program for the last two fiscal years preceding enactment of the Act.

**Beneficiary Eligibility:** State agency.

**Credentials/Documentation:** Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and "Procedural Guide for the Pipeline Safety Grant Program." Governors (or their designated plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Application (plan) due date is September 30.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Each State submits with its annual application a summary of estimated program costs by calendar year covering the State gas pipeline safety activities to the Materials Transportation Bureau, DOT.

**Award Procedure:** Awards are made by the Materials Transportation Bureau, Washington, DC. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications are submitted by September 30 for the next calendar year. A later date for filing applications is established if appropriations are not available by September 30.

**Range of Approval/Disapproval Time:** 60 to 90 days from date of receipt.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The formula for allocating sums of money among states involves two statutory prescriptions: (1) The State expenditures in any given year, without Federal assistance, cannot be less than the average amount expended by the State for gas pipeline safety during fiscal years 1967 and 1968; (2) Federal reimbursement may not exceed 50 percent of the State's actual expenditures during the year for personnel, equipment, and activities reasonably required by the State agency for the conduct of its gas pipeline safety program. (P.L. 90-481, 49 U.S.C. 1671, et seq.)

**Length and Time Phasing of Assistance:** Expenditures made by a State during the calendar year are eligible for Federal reimbursement. States receiving Federal assistance submit claims for reimbursement in July for the Federal share of the cost of actual expenditures between January 1 and June 30 of the year, and in January for the Federal share of the cost of actual expenditures between July 1 and December 31 of the year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual activity reports.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform requirements for grants to State and local governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** All records relating to the program shall be retained for a period of not less than three years from the date of submission of fund expenditure report.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-0104-0-1-407.

**Obligations:** (Grants) FY 81 $3,316,350; FY 82 $2,434,000; and FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** $6,638 to $221,042; $57,500.

**PROGRAM ACCOMPLISHMENTS:** Forty-nine State agencies requested and received allocations from fiscal year 1981 funds. No eligible State applicant was rejected. State agencies are increasing their knowledge and activities to help operators in their State in operating and maintaining a safe gas system.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Transportation of Natural and Other Gas by Pipeline, Minimum Safety Standards" and related amendments, 49 CFR 191 and 192. Individual copies available from the Headquarters Office. "Procedural Guide for the Pipeline Safety Grant Program."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog appendix for addresses.

**Headquarters Office:** Department of Transportation, Materials Transportation Bureau, 400 Seventh Street, SW, Washington, DC 20590. Contact: Frank Fulton. Telephone: (202) 426-3046.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** State Gas Pipeline Safety Program.

**CRITERIA FOR SELECTING PROPOSALS:** All proposals from eligible State utility regulatory agencies are considered for funding to the limit of available grant money.

## 20.800 CONSTRUCTION—DIFFERENTIAL SUBSIDIES

### (CDS)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title V of the Merchant Marine Act, 1936, as amended; Public Law 74-835, as amended; 46 U.S.C. 1151-1161.

**OBJECTIVES:** To promote the development and maintenance of the U.S. Merchant Marine by granting financial aid to equalize cost of construction of a new ship in a U.S. shipyard with the cost of constructing the same ship in a foreign shipyard.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The funds appropriated for the payment of construction-differential subsidy are specifically designated for ship construction or ship conversion only and are limited to specified percentages of the domestic cost.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. flag ship operators or U.S. shipyards for construction of ships to be used in foreign trade. Prospective purchaser must possess the ability, experience, financial resources, and other qualifications necessary for the acquisition, operation, and maintenance of the proposed new ship.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of U.S. citizenship.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** This program may require the submission of an environmental impact statement.

**Application Procedure:** Application is filed on Form MA-218, in triplicate (originals) and 12 conforming copies which are forwarded to, the Associate Administrator for Maritime Aids at the headquarters office listed below.

**Award Procedure:** Priority will be given to those proposals which: (a) best attain the goal of reducing the percent of CDS necessary; (b) provide for the production of ships of high transport capability and productivity; (c) use standard ship designs leading to series production and multi-year contracting; and (d) increase foreign trade penetration. Award decisions are made by the Maritime Subsidy Board, based on recommendations of the the Office of Subsidy Contracts. The Maritime Subsidy Board also formally notifies the applicant of approval or disapproval of the award.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 days to 6 months.

**Appeals:** Appeals are directed to the Secretary of Transportation in accordance with Department Organization Order 1100.60.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A maximum of 50 percent of construction costs in a United States shipyard has been established by law.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The shipowner must agree to build the ship in the United States and operate it under the U.S. flag in the foreign commerce of the United States, with a U.S. citizen crew for a period of 25 years for liner and dry bulk vessels, and 20 years for tankers and other liquid bulk carriers. The ship is subject to requisition by the United States during times of national emergency in accordance with the provisions of the Merchant Marine Act, 1936, as amended.

**Audits:** None.

**Records:** Reports and records listed in Index of Current Regulations published by the Maritime Administration.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1708-0-1-403.

**Obligations:** (Direct Payments) FY 81 $206,170,000; FY 82 est $39,526,000; and FY 83 est $10,000,000.

**Range and Average of Financial Assistance:** In FY 81, 3 new buildings and 20 reconstructions were subsidized. The average subsidy per reconstruction in fiscal year 1981 was approximately $3,182,000. Historically, subsidy for reconstruction has ranged from under $300,000 to almost $7,850,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, no subsidy was awarded for construction or reconstruction. During that same period 6 new ships built with subsidy were delivered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 46 CFR 251.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Wallace T. Sansone, Associate Administrator for Maritime Aids, Maritime Administration, Department of Transportation, 400 7th St. SW, Washington, DC 20590. Telephone: (202) 426-5718.

**RELATED PROGRAMS:** 20.802, Federal Ship Financing Guarantees; 20.804, Operating—Differential Subsidies; 20.808, Capital Construction Fund; 33.001, Shipping—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Construction-differential subsidy is paid for vessels built in the United States shipyards for operation under the U.S. flag in the U.S. foreign trade. Vessels previously subsidized include container ships, Roll-on/Roll-off (Ro/Ro) Vessels, liquefied natural gas carriers, liquid and dry bulk cargo vessels, lighter-aboard-ships (LASH), tug-barge units, and conversion of existing vessels.

**CRITERIA FOR SELECTING PROPOSALS:** See Award Procedure section.

## 20.801 DEVELOPMENT AND PROMOTION OF PORTS AND INTERMODAL TRANSPORTATION

### (Port and Intermodal Development)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 8, Merchant Marine Act, 1920, as amended; Public Law 66-261, as amended; Section 212, Merchant Marine Act, 1936, as amended; Public Law 74-835; 46 U.S.C. Section 1122; 32A C.F.R. 1901-03; and Section 2, Public Law 96-371.

**OBJECTIVES:** To promote and plan for the development and utilization of ports and port facilities, and intermodal transportation; to provide technical advice and information to Government agencies, private industry and State and municipal governments; and, to plan for the utilization and control of ports and port facilities under national mobilization conditions.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Federal personnel are used to conduct cooperative studies with ports or groups of ports and to advise and consult with port authorities, governments, and private industry requesting such assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local government agencies, including port authorities are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Personal conference or explanation of problem.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $848,000; FY 82 est $763,000; and FY 83 est $774,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In the Port Planning Area: Projects activities relating to financial aspects of port development (National Regional and Local Economic Impact Studies, U.S. Port Development Expenditure Survey) Usage Pricing for Public Marine Terminals, Port Public Liability Insurance Risk Management Study; cooperative port planning studies with State and city agencies (Mid-America Ports Study, Delaware Regional Ports Study, Texas Port Study, New England Port and Harbor Study Great Lakes Regional Study, Oregon State Ports Study, Detroit Port Development Study); Port capability and productivity projects (National Port Assessment Study, and Port Handbook for Estimating Marine Terminal Cargo-Handling Capability); Port Planning Data and Information Systems; and interagency/international activities (Moving U.S. Coal to Export Markets, International Port and Harbor Conferences, Management, Pacific Basin Development Conference, and Inter-American Port Safety and Security Seminar). In the Equipment and Facilities area: Port operations activities (Tanker Berthing Evalution, and Great Lakes Bulk Facilities Evaluation); advanced terminal management systems (Marine Terminal Computer-based Management Control System, Electronic Data Interchange, and Ports for National Defense); facility protection systems (2500 GPM Portable Firefighting Module for Tugs, and High-Speed Multipurpose Service Craft Demonstration); and port equipment and facilities inventories and registries (Existing and Potential U.S. Coal Export Loading Terminals; Intermodal Equipment Inventory).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Departmental Organization Order 1100.69.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** John M. Pisani, Director, Office of Port and Intermodal Development, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 377-3981.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Mid-America (17 States) Port Study, Great Lakes (8 States) Port Study, New England Port and Harbor Study, Texas Port Study, Oregon Port Study, Delaware River Regional Ports Study, Detroit Port Development Study and Light-Weight Fire-Fighting Module Demonstration, Tanker Berthing Demonstration, VLCC-Tug Interaction Evaluation.

**CRITERIA FOR SELECTING PROPOSALS:** Not Applicable.

## 20.802 FEDERAL SHIP FINANCING GUARANTEES (Title XI)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title XI of the Merchant Marine Act, 1936, as amended; Public Law 92-507; 46 U.S.C. 1271, et seq.

**OBJECTIVES:** To promote construction and reconstruction of ships in the foreign and domestic commerce of the United States by providing Government guarantees of obligations so as to make commercial credit more readily available.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Guarantees are available to aid in financing of vessels which are designed for research or for commercial use (a) in coastwide or intercoastal trade; (b) on the Great Lakes or on bays, sounds, rivers, harbors, or inland lakes of the United States; (c) in foreign trade; and (d) as floating drydocks. Any vessel of not less than 5 net tons, and any vessel (other than a towboat, barge, scow, lighter, car float, canal boat or tank vessel of less than 25 gross tons) is eligible.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any U.S. citizen with the ability, experience, financial resources, and other qualifications necessary to the adequate operation and maintenance of the vessel.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Economic feasibility of project, citizenship of applicant.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application Form MA163 must be filed with the Maritime Administration, Office of Ship Financing Guarantees.

**Award Procedure:** Final approval granted by the Maritime Administrator.

**Deadlines:** No guarantee will be entered into later than 1 year after the delivery of a new vessel, except for refinancing to provide funds for additional vessel construction or to refinance existing obligations issued for the purposes contained in Title XI.

**Range of Approval/Disapproval Time:** After a complete application has been filed with all supporting documents, processing time is approximately 120 days.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The shipowner must provide 12 1/2 percent or 25 percent of the total "Actual Cost" depending on the proposed construction. The remaining costs are to be financed through the guaranteed obligation.

**Length and Time Phasing of Assistance:** Assistance provided as ship is constructed and/or throughout life of ship, but not to exceed the time period for which the obligation is guaranteed but in any case not to exceed 25 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial reports as per contract. Annual reports regarding citizenship, no default certificates, ABS requirements, etc.

**Audits:** See "Index of Current Regulations," Maritime Administration.

**Records:** See "Reports" above.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-4301-0-3-403.

**Obligations:** (Guaranteed insured loans) FY 81 $6,567,719,000; FY 82 est $6,955,196,000; and FY 83 est $7,552,006,000.

**Range and Average of Financial Assistance:** $106,000 to $126,300,000. (Average is not entered, because it would not be typical of the breadth of the program).

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 550 additional of various types received Title XI financing. In fiscal year 1982, it is estimated that 500 additional vessels including barges of various types will receive Title XI financing.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 46 CFR 298. Booklet entitled "Federal Ship Financing Program."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Wallace Sansone, Associate Administrator for Maritime Aids, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 382-0364.

**RELATED PROGRAMS:** 11.415, Fishing Vessel Obligation Guarantees; 20.800, Construction—Differential Subsidies; 20.808, Capital Construction Fund; 33.001, Shipping—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** During FY 80, a wide variety of vessels received approval for Title XI financing. Specific approvals were granted to aid in the construction of: several catug and conventional tankers to be used to move petroleum products; six ocean going liner vessels; three dredges; several jack-up drilling rigs to be operated in the Gulf and one container ship. In addition to the major vessel types, numerous oceangoing and inland tugs and barges received Title XI approval.

**CRITERIA FOR SELECTING PROPOSALS:** Projects which involve the construction, reconstruction or reconditioning of U.S. flag vessels which are to be operated and owned by United States citizens are eligible for Title XI financing. In order to receive approval, applicants must possess the ability, experience, financial resources and other qualifications necessary to the adequate operation and maintenance of the vessel. The financial resources necessary for the project are determined by the project's costs and the financial position and resources available to the applicant. Additionally, all projects must be determined to be economically feasible before approval can be granted. Applications are generally processed on a first-come, first-served basis, with a view towards accommodating the time frame of each and every applicant.

## 20.803 MARITIME WAR RISK INSURANCE

## (Title XII, MMA, 1936)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title XII, Merchant Marine Act, 1936, as amended; Public Law 81-763, as amended; 46 U.S.C. 1281-1294. Public Law 96-195 enacted February 25, 1980.

**OBJECTIVES:** To provide war risk insurance whenever it appears to the Secretary of Transportation that adequate insurance for waterborne commerce cannot be obtained on reasonable terms and conditions from licensed insurance companies in the United States.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Insurance binders or policies on certain vessels in operation or under construction are provided for nominal cost in peacetime.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All U.S. flag vessels, and certain foreign flag vessels meeting specific criteria as determined by the Maritime Administrator.

**Beneficiary Eligibility:** Vessel owners, their crews, and certain designated beneficiaries of deceased crew members.

**Credentials/Documentation:** Applications, vessel data, unqualified contract of commitment, and other supporting data as required by 46 CFR Part 308.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Complete and proper filing of applications, supporting documents, and payment of appropriate binding fees or premiums as specified in 46 CFR Part 308.

**Award Procedure:** Binders issued only to those applicants that qualify.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 5 to 15 working days.

**Appeals:** Not applicable.

**Renewals:** This program has been extended to expire midnight, September 30, 1984.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Indeterminate; depends on war situation and posture of the country.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable in peacetime.

**Audits:** Not applicable in peacetime.

**Records:** Not applicable in peacetime.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-4302-0-3-403.

**Obligations:** (Contractual fees) FY 81 $197,000; FY 82 est $415,000; and FY 83 est $415,000.

**Range and Average of Financial Assistance:** Not applicable in peacetime.

**PROGRAM ACCOMPLISHMENTS:** Interim war risk insurance was furnished during fiscal year 1981 for 2,463 U.S. and foreign flag vessels and their crews, and will be provided for an estimated 2,835 vessels of U.S. and foreign-flag registry and their crews during FY 1983. Such insurance cannot be obtained commercially during wartime.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations are set forth under 46 CFR 308 and 309 as amended from time to time in the Federal Register.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Jack Malkin, Director, Office of Marine Insurance, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 382-0369.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 20.804 OPERATING—DIFFERENTIAL SUBSIDIES (ODS)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title VI of the Merchant Marine Act, 1936, as amended; Public Law 74-835; 46 U.S.C. 1171-1183.

**OBJECTIVES:** To promote development and maintenance of U.S. Merchant Marine by granting financial aid to equalize cost of operating a U.S. flag ship with cost of operating a competitive foreign flag ship.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Title VI of the Act provides for the payment of operating-differential subsidy on vessels to be used in a foreign service in the foreign commerce of the United States, which has been declared to be essential by the Secretary of Transportation under Section 211 of the Act. Operating subsidy is based on the difference between the fair and reasonable cost of certain items of operating expense and the estimated cost of the same items of expense if the vessels were operated under foreign registry.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any U.S. citizen who has the ability, experience, financial resources, and other qualifications necessary to enable him to conduct the proposed operation of U.S. flag vessels in an essential service in the foreign commerce of the U.S.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of U.S. citizenship.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** See 46 CFR 251. Application MA-632 in triplicate (3 originals and 12 copies). Send applications to the headquarters office listed below.

**Award Procedure:** Maritime Aids office reviews applications and determines that ODS may be paid if: (1) the operation is required to meet foreign competition; (2) the applicant owns, leases, can or will build competitive vessels; (3) the applicant possesses the ability, experience and financial resources necessary to conduct the operation; and (4) the granting of aid is necessary to place the proposed operation on a parity with foreign competition. Award decisions are approved by the Maritime Subsidy Board who will then notify operator of award.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90 days to 2 years.

**Appeals:** Appeals of decisions of the Maritime Subsidy Board are directed to the Secretary of Transportation in accordance with Department Organization Order 1100.60.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The subsidy paid may not exceed the difference between the subsidizable cost of wages, and the fair and reasonable cost of insurance and maintenance and repairs not compensated by insurance, over the estimated subsidizable and fair and reasonable costs of the same items if the vessels were operated under foreign flag.

**Length and Time Phasing of Assistance:** Not to exceed 20-year contracts. After signing of contract, subsidy is payable commencing with loading of cargo on first outbound voyage.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The reports required and a list of records to be maintained are listed in the Maritime Administration Index of Current Regulations, published by the Maritime Administration.

**Audits:** All financial records are subject to audit, on a voyage basis. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** See Reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1709-0-1-403.

**Obligations:** (Direct Payments) FY 81 $353,103,000; FY 82 est $414,899,000; and FY 83 est $406,821,000.

**Range and Average of Financial Assistance:** Depending upon the type of service vessel and trade, the per day subsidy payments normally range from about $4,140 to $7,050 with $5,790 as an average for fiscal year 1980, for general cargo and bulk services, exclusive of USSR bulk programs.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 177 ships were subsidized for liner and bulk operations plus 31 ships were approved for participation in the carriage of bulk raw and processed agricultural commodities from the United States to the Union of Soviet Socialist Republics, However, as of January 1, 1982, the Soviet grain program has been suspended. There have been so subsidized voyages under those contracts. During fiscal year 1981 and 1982 no contracts were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 46 CFR 251; "The U.S. Merchant Marine-A Brief History."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Wallace T. Sansone, Associate Administrator for Maritime Aids, Maritime Administration, Department of Transportation, 400 7th S.W., Washington, DC 20590. Telephone: (202) 426-5718.

**RELATED PROGRAMS:** 20.800, Construction—Differential Subsidies; 33.001, Shipping—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Operating-differential subsidy is paid on U.S.-flag vessels operating in the foreign commerce of the United States. Subsidized vessels include container ships, Roll-on/Roll-off (Ro/Ro) vessels, lighter-aboard-ships (LASH), liquid and dry bulk cargo vessels, break bulk ships and tug-barge vessels. Subsidy is not paid for vessels in the domestic trade, liquified natural gas carriers, or bulk cargo vessels in excess of 100,000 dead weight tons.

**CRITERIA FOR SELECTING PROPOSALS:** See Award Procedure section.

## 20.805 SHIP SALES

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Merchant Marine Act of 1936 as amended; Public Law 74-835, as amended; 46 U.S.C. 1158, Section 508, and special legislation enacted by Congress.

**OBJECTIVES:** To sell by competitive bids merchant ships which become surplus to the needs of the Government.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Special non-transportation uses such as for piers, warehouses, oil drilling platforms, crane platforms, etc., or for dismantling purposes. Restrictions preclude use of ships for transporting cargo or passengers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Those who have a need for ships for non-transportation or dismantling purposes may purchase ships under competitive bids for such purposes.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Affidavits of citizenship, statements of operating, and financial capabilities.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Write to the Maritime Administration for invitations to bid.

**Award Procedure:** Not applicable.

**Deadlines:** As noted in invitations to bid.

**Range of Approval/Disapproval Time:** 4 to 15 days after bid opening.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** That ships have been put to the uses for which purchased. Submitted after work accomplished.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** Not applicable.

**Obligations:** (Value of ship sales) FY 81 $3,304,600; FY 82 est $1,900,000; and FY 83 est $1,500,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Marad has resumed its offering of ships for sale from the National Defense Reserve Fleet. Sales for fiscal year 1981, 14 ships. Estimated sales for fiscal year 1982, 15 ships. Estimated sales for fiscal year 1983, 12 ships.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 101-45.105.2.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Inquiries should be directed to headquarters office. Invitations to bid can be obtained from: The Maritime Administration Regional Offices listed in Appendix IV of the Catalog, or the headquarters office.

**Headquarters Office:** Chief, Ship Disposals and Foreign Transfers Branch, Division of Reserve Fleet, Office of Ship Operations, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 426-5821.

**RELATED PROGRAMS:** 39.007, Sale of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 20.806 STATE MARINE SCHOOLS

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Public Law 96-453.

**OBJECTIVES:** To train Merchant Marine Officers in State Marine Schools.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Operation and maintenance of State Marine Schools; maintenance and repair of training vessels loaned by Federal Government; student incentive payments to selected cadets.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States. Limited to one academy in any one State.

**Beneficiary Eligibility:** Students, meeting eligibility requirements.

**Credentials/Documentation:** Formal application from State Governor setting forth evidence of establishment of school; State appropriation for the school; suitable curriculum and facilities. Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter from a State Governor to the Secretary of Transportation or the Maritime Administrator.

**Award Procedure:** Need for training must be established. The final award is approved by the Maritime Administrator.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Federal/State contracts for assistance automatically extended year by year unless cancelled.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Annual assistance payment of $100,000 if matched by State appropriations and if out-of-State students are enrolled. Federal assistance consists of (1) lump-sum annual assistance payment to schools, (2) loan of vessel and payment for its maintenance, (3) student incentive payments. States are required to show that their annual funding for the school at least matches the Federal lump sum assistance payment.

**Length and Time Phasing of Assistance:** Annual payments to the schools are given on a lump-sum basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly-enrollment by class. Annual-cost analysis of school operation. Other at request of the Maritime administrator.

**Audits:** As desired by Maritime Administration. Type and frequency as needs indicate. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Pertaining to each school, its officers, faculty and students, the vessel and crew, and the shore base are required to be kept indefinitely.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Direct payments) FY 81 $7,441,000; FY 82 $9,399,000; and FY 83 est $7,468,000.

**Range and Average of Financial Assistance:** Annual assistance payment of $100,000 paid to each approved school provided State matches funds; and admits eligible out-of-State students. An allowance of $1,200 per academic year, not to exceed four years, paid to each student in good standing.

**PROGRAM ACCOMPLISHMENTS:** A total of 705 merchant marine officers graduated in 1980 and 740 officers graduated in 1981 from schools in California, Maine, Massachusetts, New York, Texas, and Michigan. In fiscal year 1982, 735 officers are expected to graduate.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 46 CFR 310A; Standard college catalogs are available from the schools listed below or from the Maritime Administration.

**INFORMATION CONTACTS:**

**Regional or Local Office:** (a) Federal Government: none; (b) standard information for prospective students: Maine Maritime Academy, Castine, ME 04421; Massachusetts Maritime Academy, Buzzards Bay, MA 02532; New York Maritime College, Fort Schuyler, NY 10465; Texas Maritime College, Galveston, TX 77550; California Maritime Academy, Vallejo, CA 94591; Great Lakes Maritime Academy, Traverse City, MI 49684.

**Headquarters Office:** Arthur W. Friedberg, Director, Office of Maritime Labor and Training, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 426-5755.

**RELATED PROGRAMS:** 11.417, Sea Grant Support; 20.807, U.S. Merchant Marine Academy.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS section.

**CRITERIA FOR SELECTING PROPOSALS:** See Credentials/Documentation section.

## 20.807 U.S. MERCHANT MARINE ACADEMY (Kings Point)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Public Law 96-453.

**OBJECTIVES:** To train merchant marine officers.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** This program is a federally operated maritime academy providing training, subsistence, books, quarters, uniforms, medical care, and program travel to its students without cost. Appropriations restricted to the above and the operation and maintenance of the school.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** High school graduates who are U.S. citizens. In general, criteria are similar to those generally used for college admission.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Usual documents for college admission.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Person desiring appointment to the school apply to Senators or Congressmen for nomination.

**Application Procedure:** Nominating officials submit nominations to school through Maritime Administration. Selection is competitive by merit.

**Award Procedure:** Appointment approved by the Maritime Administrator.

**Deadlines:** Nominations must be submitted by December 31 of year preceding that in which admission is desired.

**Range of Approval/Disapproval Time:** 3 to 8 months.

**Appeals:** To the school.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Furnished with all required uniforms and textbooks during their four years at the Academy.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $18,451,000; FY 82 $23,205,000; and FY 83 $17,251,000.

**Range and Average of Financial Assistance:** Allowance prescribed for all personnel for uniforms and textbooks. During the sea year a midshipman will earn $461.40 per month from his steamship company employer.

**PROGRAM ACCOMPLISHMENTS:** A total of 242 merchant marine officers graduated in 1980 and 266 in 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 46 CFR 310C; Standard college catalogs and brochures.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Admissions Officer, U.S. Merchant Marine Academy, Kings Point, NY 11024, Telephone: (516) 482-8200; Central Region Director, Maritime Administration, Department of Transportation, International Trade Mart, 2 Canal St., New Orleans, LA 70130, Telephone: (504) 589-6556; Western Region Director, Maritime Administration, Department of Transportation, 450 Golden Gate Ave., Box 36073, San Francisco, CA 94102, Telephone: (415) 556-3816; Great Lakes Region Director, Maritime Administration, Department of Transportation, 1301 Superior Ave., Room 260, Cleveland, OH 44114, Telephone: (216) 522-3623.

**Headquarters Office:** Arthur W. Friedberg, Director, Office of Maritime Labor and Training, Maritime Administration, Department of

Transportation, Washington, DC 20590. Telephone: (202) 426-5755.

**RELATED PROGRAMS:** 11.417, Sea Grant Support.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS section.

**CRITERIA FOR SELECTING PROPOSALS:** See Credentials/Documentation section.

## 20.808 CAPITAL CONSTRUCTION FUND (CCF)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 607 of the Merchant Marine Act of 1936, as amended; Public Law 91-469, 84 Stat. 1018.

**OBJECTIVES:** To provide for replacement vessels, additional vessels or reconstructed vessels, built and documented under the laws of the United States for operation in the United States foreign, Great Lakes or noncontiguous domestic trades.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The capital construction fund program is a program created by the Merchant Marine Act of 1970 to help rejuvenate the American Merchant Marine. The assistance provided is not through payment of appropriated funds, but rather allows the fund holder to defer payment of tax monies that would otherwise be paid to the U.S. Government during the tax year. The extension of tax deferral privileges encourages the accomplishment of the program objective by allowing the fund holder to accumulate and use otherwise taxable earnings for the purposes of acquiring, constructing or reconstructing vessels built and documented in the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade and in the fisheries.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An applicant must be a U.S. citizen, own or lease one or more eligible vessels, have a program for the acquisition, construction or reconstruction of a qualified vessel and demonstrate the financial capabilitites to accomplish the program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Be able to provide proof of requirements called for in Applicant Eligibility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Contact the Maritime Administration, Office of Subsidy Contracts.

**Application Procedure:** See Federal Register Notice (46 CFR Part 390. Appendix I) dated January 29, 1976. Persons seeking to enter into a Capital Construction Fund Agreement may make application by letter to the headquarters office shown below.

**Award Procedure:** The Office of Subsidy Contracts reviews the application to determine the citizenship of the applicant, whether the applicant owns or leases one or more eligible vessels, has an acceptable program for the acquisition, construction or reconstruction of a qualified vessel and has the financial capability to accomplish the program. Approved by the Associate Administrator for Maritime Aids.

**Deadlines:** Applicant must execute a Capital Construction Fund Agreement prior to final due date for filing of Federal tax return to receive tax deferment for a given tax year.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each agreement provides for a minimum deposit over a 3 year period to insure that the party is making a sufficient commitment to continue the agreement.

**Length and Time Phasing of Assistance:** Depends upon the individual program agreed to between the Maritime Administration and the applicant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semi-annual and annual reports specified in the agreement and the rules and regulations.

**Audits:** All financial records are subject to audit by the Internal Revenue Service and/or the Maritime Administration, Department of Transportation. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** See Reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $474,000; FY 82 est $487,000; and FY 83 est $493,000.

**Range and Average of Financial Assistance:** Applicant receives tax benefits for depositing assets in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:** As of December 1981, there was a total of 116 individual and consolidated Capital Construction Fund Agreements, with reported deposits of $2.6 billion to accomplish construction and acquisition programs. During the fiscal year, of the 32 applications received; 15 were approved, 14 are pending and 3 were withdrawn.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Capital Construction Fund Agreement; Part 390, Title 46, CFR; Part 3, Title 26, CFR.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Wallace T. Sansone, Associate Administrator for Maritime Aids, Maritime Administration, Department of Transportation, Washington DC 20590. Telephone: (202) 426-5718.

**RELATED PROGRAMS:** 20.800, Construction—Differential Subsidy; 20.802, Federal Ship Financing Guarantees.

**EXAMPLES OF FUNDED PROJECTS:** The types of projects funded through the CCF are the acquisition, construction, and reconstruction of qualified agreement vessels such as tugs, barges, break bulk cargo vessels, LNG carriers, tankers, etc. In addition, these vessels must be documented under the laws of the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade. The definition of noncontiguous domestic trade has recently been expanded to include trade between fixed drilling and production platforms located on the Outer Continental Shelf of the United States at a distance more than three miles from shore and the U.S. mainland.

**CRITERIA FOR SELECTING PROPOSALS:** See Award Procedure section.

## 20.809 DEVELOPMENT AND PROMOTION OF DOMESTIC WATERBORNE TRANSPORT SYSTEMS

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 101, Merchant Marine Act of 1936, as amended; Public Law 91-469; 46 U.S.C. 1101.

**OBJECTIVES:** To promote the development of adequate shipping capability including productivity measures and goals in domestic waterborne trades (Great Lakes, Inland Waterways and noncontiguous, coastwise and intercoastal trades) as well as to formulate and implement national policies and programs for the development of domestic waterborne transportation.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Federal personnel are used to advise and consult with domestic water carriers, governments, and individuals requesting such assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private industry, State and local governments, including port authorities; also individuals and organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Personal conference or explanation of problems in writing from organization.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $563,000; FY 82 est $583,000; and FY 83 est $590,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Accomplishments during fiscal year 1981 included preparing the Maritime Administration's Publication, "Domestic Waterborne Trade of the United States, 1975-1979"; assisting the Smithsonian Institution in promotion of its Hall of American Maritime Enterprise in the National Museum of American History; and participating in the work of the Interagency Coal Export Task Force and and subsequent intragovernmental coal export promotion efforts. Work is completed on a $1 million study effort on the impacts of waterway user charges mandated by Public Law 95-502, Section 205. This office has also developed an information system to sort and extract summarized vessel characteristics and status data for barges and small merchant vessels. This office continues to furnish specific commodity flow data in support of industry expansion and investment.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Section 101 of the Merchant Marine Act, 1936, as amended; Departmental Organization Order 1100.69.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Howard Norseth, Acting, Director, Office of Domestic Shipping, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 377-4099.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 20.810 SUPPLEMENTARY TRAINING

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Title XIII, Merchant Marine Act, 1936, as amended.

**OBJECTIVES:** To train seafarers who are already in the industry in collision avoidance, shipboard firefighting, and diesel propulsion and other such essential subjects related to safety and operations where this training is not or cannot be provided by the industry directly.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Licensed and unlicensed U.S. seafarers in U.S. maritime industry are instructed on a fee-paid basis in safety and marine operation subjects.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Qualified U.S. merchant seafarers, operators of inland waterway, offshore drilling, and mining vessels; maritime academy students; and personnel of the National Oceanic and Atmospheric Administration, U.S. Coast Guard, U.S Army Corps of Engineers, qualified representatives of marine industry, State and local government.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Merchant mariner's document issued by the U.S. Coast Guard.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Seafarers contact regional schools.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Students renew collision avoidance radar skills every 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Nonfinancial - Training provided on a fee basis.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Applications are retained for one year only.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $1,877,000; FY 82 $1,184,000; and FY 83 est $1,174,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Initiated training at new fire fighting school in Central Region (New Orleans), started construction of new firefighting school in Great Lakes Region (Toledo, OH). Procured automated radar equipment for all MARAD radar schools. In fiscal year 1981, seafarers completed firefighting training; collision avoidance training, 2,454; and diesel propulsion, 93.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Collision Avoidance Navigation - CFR 46s10.05-46 for Radar Observer Certificate.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Maritime Regional Offices listed in Appendix IV of Catalog.

**Headquarters Office:** Arthur W. Friedberg, Director, Office of Maritime Labor and Training, Maritime Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 426-5755.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 20.811 RESEARCH AND DEVELOPMENT ASSISTANCE

### (Maritime Research and Development)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 209 of the Merchant Marine Act, 1936, as amended, Public Law 91-469; 46 U.S.C. 1119, et seq.

**OBJECTIVES:** To improve the productivity of U.S. shipbuilding, shipping, port, and ancillary industries.

**TYPES OF ASSISTANCE:** Project Grants; Cooperative Agreements.

**USES AND USE RESTRICTIONS:** Research grants and cooperative agreements are awarded to a variety of recipients for work in the maritime field. Cost sharing is encouraged. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Marine firms, individuals, universities, State and local governments, U.S. Territories (and possessions), nonprofit organizations and institutions, port authorities, or independent research concerns with marine expertise.

**Beneficiary Eligibility:** Marine firms, shipyards, universities, State and local governments, U.S. Territories (and possessions), nonprofit organizations and institutions, or port authorities.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** There is no requirement for preapplication meeting. However, applicants are encouraged to discuss the proposed program with the appropriate information contact listed below. Upon request, MARAD will provide interested parties with preapplication package.

**Application Procedure:** Awards are made in response to unsolicited proposals, or proposals submitted in response to requests for proposals or program opportunity notices. This program is subject to the provisions of OMB Circulars A-102 and A-110 and will be evaluated at headquarters program office.

**Award Procedure:** Awards are made on the basis of proposal evaluation. Notification of awards will be sent to the appropriate clearinghouses in accordance with Treasury Circular 1082.

**Deadlines:** Applications for specific projects should be submitted 60 days prior to the proposed work start date. General program opportunity notices will contain expiration dates which will identify when the notice will no longer be current. This date shall not be used as a required common due date for submission of proposals.

**Range of Approval/Disapproval Time:** From 2 to 3 months.

**Appeals:** No formal procedure.

**Renewals:** Requests for additional support of a previously funded program shall be made to the Awards Officer (M-900) Maritime Administration, U.S. Department of Transportation, Washingtion, DC 20590.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Up to 100 percent Federal funding. The extent of funding will be determined by the funding office based on the relative risks and benefits of the project. It is MARAD policy to encourage cost-sharing on the part of applicants for financial assistance. The willingness of applicants to cost-share is a factor in making or not making an assistance award.

**Length and Time Phasing of Assistance:** Generally one year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual program and financial reports are required.

**Audits:** Accounting records relating to expenditures under each award are subject to audit during the life of the award and for three years thereafter. Under the total audit concept, audits will be made on an organizational basis (rather than grant-by-grant) under GAO guidelines, Standars for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** All financial and working papers must be retained for three years after the completion of the project or program for which the award was made.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1716-0-1-403.

**Obligations:** (Contracts/Grants/Cooperative Agreements) FY 81 $14,106,000; FY 82 est $9,288,000; and FY 83 est $16,800,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Each year a total of approximately 75 research agreements are awarded on various maritime matters. These range from new welding techniques for U.S. shipyards to technology development in operations of U.S. flag ships.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 46 CFR Part 385.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** John J. Roche, Assistant for Program Development and Control, Department of Transportation, Washington, DC 20590. Telephone: (202) 426-5770.

**RELATED PROGRAMS:** 20.801, Development and Promotion of Ports and Intermodal Transportation.

**EXAMPLES OF FUNDED PROJECTS:** Developed a computer based system to fabricate geometric shapes of steel for use in shipbuilding, tested the use of emulsified fuels in marine boilers, examined ways to reduce grain damage during ship loading, conducted analytic and model studies of the effects of hull roughness on merchant vessels, developed methods to predict short-range liner trade flows by motor carrier route.

**CRITERIA FOR SELECTING PROPOSALS:** See 46 CFR Part 385.

## 20.812 CONSTRUCTION RESERVE FUND (CRF)

**FEDERAL AGENCY:** MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:** Section 511 of the Merchant Marine Act of 1936, as amended, Public Law 74-835, as amended, 46 U.S.C. 1161.

**OBJECTIVES:** To promote the construction, reconstruction, reconditioning, or acquisition of merchant vessels which are necessary for national defense and to the development of U.S. commerce.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The construction reserve fund, authorized under Section 511 of the Act, is a financial assistance program which provides tax deferral benefits to U.S. flag operators. The CRF permits the fundholder to deposit gains attributable to the sale of or indemnification for loss of vessels and to defer tax on such gains provided the gains are to be reinvested in vessels. Also the CRF allows the accumulation of earnings from operations of vessels documented in the U.S., or the earnings from the investment of the Fund. The ability to accumulate funds and the tax deferral provision have enabled fundholders to construct or reconstruct in the United States and documented under the laws of the United States larger, better-equipped vessels, reduce mortgage debt on the vessels and construct a greater number of vessels than would be possible without the program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A Construction Reserve Fund (CFR) may be established by any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S., or in the fisheries. Additionally, any citizen who is operating such vessel ror vessels owned by another individual may establish a CRF.

**Beneficiary Eligibility:** Any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S. or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual.

**Credentials/Documentation:** Be able to provide proof of requirements called for in Applicant eligibility section of the program.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Contact the Maritime Administration, Office of Subsidy Contracts.

**Application Procedure:** See Federal Register Notice (46 CFR Part 287.4). Persons seeking to establish a Construction Reserve Fund may make application by letter to the headquarters office shown below.

**Award Procedure:** Review of the application by the Office of Subsidy Contracts to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**Deadlines:** Applicant must execute a Construction Reserve Fund within 60 days after the receipt of the proceeds of the sale or indemnification for loss of a vessel. Tentative authorization to establish the CRF and deposit the proceeds may be granted by the Maritime Administration.

**Range of Approval/Disapproval Time:** From 60 to 90 days.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Within three years from the date of any deposit in the Construction Reserve Fund, such deposits must be obligated under a contract for the construction or acquisition of a new vessel or vessels. Also deposits into the CRF must be made within 60 days after receipt by the taxpayer of amounts representing proceeds of the sale or indemnification for loss of a vessel.

**Length and Time Phasing of Assistance:** Depends on each individual program agreed upon between the Maritime Administration and the applicant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** With each income tax return filed for a taxable year during any part of which a CRF is in existence, the taxpayer shall submit a statement with a detailed analysis of the fund's transactions and balances.

**Audits:** None.

**Records:** With each income tax return filed for a taxable year during any part of which a CRF is in existence, the taxpayer shall submit a statement with a detailed analysis of the fund's transactions and balances.

**FINANCIAL INFORMATION:**

**Account Identification:** 69-1750-0-1-403.

**Obligations:** (Salaries and expenses) FY 81 $250; FY 82 est $250; and FY 83 est $250. The numbers for the three fiscal years represent very broad estimates of the costs of operating the CRF programs.

**Range and Average of Financial Assistance:** Defer tax on gains by depositing the gains attributable to the sale of or indemnification for loss of vessels in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, there were 8 Construction Reserve Fund contracts with deposits totalling approximately $7 million for the construction, reconstruction and acquisition of the proposed programs. Three new applications have been received in fiscal year 1981, two of which have been approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Part 287, Title 46 CFR; Order and Form of Resolution which outlines details pertaining to the establishment and maintenance of the CRF.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Wallace T. Sansone, Associate Administrator for Maritime Aids, Maritime Administration, Department of Transportation, Washington, DC, 20590. Telephone: (202) 426-5718.

**RELATED PROGRAMS:** 20.802, Federal Ship Financing Guarantees; 20.808, Capital Construction Fund.

**EXAMPLES OF FUNDED PROJECTS:** Vessels such as coastwise tankers, ocean tugs, chemical barges, and crewboats are particular programs that have been or will be constructed, reconstructed or acquired through the Construction Reserve Fund. These vessels must be constructed in the United States and documented under the laws of the United States. If the vessel is less than 12 knots speed and 2,000 gross tons, it must be determined as useful to the United States in case of war or national emergency.

**CRITERIA FOR SELECTING PROPOSALS:** Review of the application by the Office of Subsidy Contracts to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

# DEPARTMENT OF THE TREASURY

## INTERNAL REVENUE SERVICE

### 21.003 TAXPAYER SERVICE

**FEDERAL AGENCY:** INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** Internal Revenue Code, as amended; 26 U.S.C. 7801.

**OBJECTIVES:** To assure that taxpayers, organizations of taxpayers, and organizations which serve taxpayers, receive the most current information on the tax obligations and rights established by the Federal tax system.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:** Information and guidance on tax matters, including assistance in the preparation of returns, is available to each taxpayer who telephones, writes or visits IRS offices. Various types of tax courses can be arranged for groups of taxpayers, such as small business persons. Special procedures are put into effect to assist taxpayers who suffer losses in an area declared a disaster by the president. Tax institutes are usually conducted between late November and March for individuals who prepare returns for taxpayers. High school teachers may write for updated packages of materials which enable them to present a complete Federal income tax program. A training course is available to volunteers for assisting taxpayers through community action and other civic organization programs. Films explaining taxpayer rights and responsibilities are also available from IRS District Offices. Informational packages including printed material, television and radio spots are available from IRS District Offices for media dissemination.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual or group interested in the tax system or having questions on his or their tax return(s).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact any IRS office.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-0912-0-1-803.

**Obligations:** FY 81 $218,153,000; FY 82 est $230,530,000; and FY 83 est $195,985,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, an estimated 43 million taxpayers were assisted; in fiscal year 1981, about 45 million taxpayers were assisted; and in fiscal year 1982, an estimated 41.4 million taxpayers will be assisted. About 5.4 million additional contacts per year are achieved through the taxpayer education program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Tax Guide for Small Business, Publication 334"; "Your Federal Income Tax, Publication 17"; "Teachers Guide for Understanding Taxes, Publication 19"; "Understanding Taxes, Publication 21" (for students); "Volunteer Income Tax Assistance Course Book, Publication 678"; Volunteer Income Tax Assistance Instructor guide, Publication 1155; "Small Business Tax Workbook, Publication 1066"; and "Small Business Tax Workshops Instructor Guide, Publication 1135.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Toll-free telephone services are available to any taxpayer in the Nation. Toll-free telephone numbers are listed in tax packages and in local telephone directories. Taxpayers may also visit an IRS Office for assistance. Office addresses generally are contained in local telephone directories where service is available on a full-time basis or on designated days. Telephone assistace is available for deaf/hearing impaired taxpayers who have access to TV/telephone-TTY equipment. Indiana residents call 1-800-382-4059. Elsewere in the U.S., including Alaska, Hawaii, the Virgin Islands, and Puerto Rico, call 1-800-428-4732.

**Headquarters Office:** Director, Taxpayer Service Division, Internal Revenue Service, Room 7331, 1111 Constitution Ave., N.W., Washington, DC 20224. Telephone: (202) 566-6352 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 21.004, Federal Tax Information for State Tax Officials; 21.005, Individual Tax Model.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 21.004 FEDERAL TAX INFORMATION FOR STATE TAX OFFICIALS

**FEDERAL AGENCY:** INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** Internal Revenue Code, as amended; 26 U.S.C. 6103 and 4102.

**OBJECTIVES:** To provide State officers and State bodies or commissions selected information from Federal tax returns.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Tax data from individual, business and gift tax returns are furnished as documents or on computer tape to participating State agencies for tax administration purposes only. Use of information is restricted by Section 6103 of the Internal Revenue Code. Unauthorized use subjects violator to criminal and civil penalties.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies having Agreement on Coordination of Tax Administration with IRS, or by special request of Agency head.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Authorized employees of State agency.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** State agency officials must send written request for participation to the nearest District Director, Internal Revenue Service, Attention: Disclosure Officer.

**Award Procedure:** Not applicable.

**Deadlines:** July of current year for individual and business tape data; May of current year for gift tax tape data. No deadline for document requests.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports by each State agency receiving Federal return information on the use, safeguarding and disposition of such data when no longer needed for official use.

**Audits:** Safeguard reviews will be made by the Internal Revenue Service to determine if the agency is adequately protecting the confidentiality of Federal return information. The frequency of reviews will be determined by the results of the safeguard activity report submitted by the agency.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-0912-0-1-803.

**Obligations:** (Taxpayer Service and Returns Processing) FY 81 $130,000; FY 82 est $150,000; and FY 83 est $165,000. (Costs for the exchange will be borne by the State agency on a reimbursable basis).

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the Internal Revenue Service had written agreements with 93 State agencies representing 49 States, the District of Columbia, American Samoa, Guam, Puerto Rico and the Virgin Islands. In fiscal years 1982 and 1983, approximately the same number of States are expected to participate.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations under Section 6103 of the Internal Revenue Code; Document 6501 (6-81), Individual/Business Master File/Individual Returns Transaction File (IMF/BMF/RTF) Tax Data; Document 6568 (6-81) Gift Tax Extracts; Publication 1075 (6-81) Tax Information Security Guidelines for Federal, State and Local Agencies.

**INFORMATION CONTACTS:**

**Regional or Local Office:** District Director, Internal Revenue Service, Attention: Disclosure Officer.

**Headquarters Office:** Raymond L. Rizzo, Director, Disclosure Operations, Internal Revenue Service, Room 1603, 1111 Constitution Ave., N.W., Washington, DC 20224. Telephone: (202) 566-4263 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 21.003, Taxpayer Service; 21.005, Individual Tax Model; 21.052, Alcohol, Tobacco, and Firearms—Training Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 21.005 INDIVIDUAL TAX MODEL

**FEDERAL AGENCY:** INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** Internal Revenue Code, as amended; 26 U.S.C. 6108.

**OBJECTIVES:** To provide State tax officials with a tax model to be used in determining their rate structure and possible revenue yields in connection with the "piggybacking" provisions of the Federal-State Tax Collection Act of 1972 (Title II, Public Law 92-512).

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The State tax model is a tape file containing all data items transcribed from individual income tax returns selected in the sample of returns used to prepare Statistics of Income. This file is based on a sample of 1980 returns. Weight factors are provided so that the sample data can be inflated to represent all Federal individual income tax returns filed by residents of each State. The file will be useful to States in determining their rate structure and in estimating revenue under provisions of Public Law 92-512, for Federal Collection of State Individual Income Taxes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State tax authorities.

**Beneficiary Eligibility:** State taxpayers.

**Credentials/Documentation:** Authorized employees of State tax authority.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** State tax officials must send written request for participation to: Director, Statistics Division, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, DC 20224.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-0912-0-1-803.

**Obligations:** (Taxpayer Service and Returns Processing) FY 81 $2,500; FY 82 est $2,500; and FY 83 est $2,500. (Costs will be borne by the State agency on a reimbursable basis).

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** To date, six States have obtained this information from the IRS. However, it is also available from the National Archives and Records Service.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations still pending.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Statistics Division, Internal Revenue Service, Room 401, 1201 E Street, N.W., Washington, DC 20224. Telephone: (202) 376-0216. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 21.003, Taxpayer Service; 21.004, Federal Tax Information for State Tax Officials.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 21.006 TAX COUNSELING FOR THE ELDERLY

**FEDERAL AGENCY:** INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** Revenue Act of 1978, Section 163, Public Law 95-600, 92 Stat. 2810.

**OBJECTIVES:** To authorize the Internal Revenue Service to enter into agreement with private or public nonprofit agencies or organizations to establish a network of trained volunteers to provide free income tax information and return preparation assistance to elderly taxpayers.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Assistance may be used for reimbursing volunteer tax assistors for out-of-pocket expenses incurred in receiving IRS-approved training and in providing income tax assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Tax Counseling for the elderly sponsors must be private or public nonprofit organizations with experience in coordinating volunteer programs. Federal, State, and local governmental agencies and organizations are not eligible to sponsor a program.

**Beneficiary Eligibility:** Elderly taxpayers.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Each Tax Counseling for the Elderly applicant must complete a Tax Counseling for the Elderly application package. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** IRS reviews applications and selects Tax Counseling for the Elderly Program sponsors. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications are generally available in June and due at IRS in late July. The deadline for submitting an application to IRS for the 1982 program was September 18, 1981.

**Range of Approval/Disapproval Time:** Sponsor selections are generally made 60 days after the deadline for submitting applications.

**Appeals:** None.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Cooperative Agreements expire on September 30 of each year unless an earlier date is set in the Cooperative Agreement.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Form 6244, Tax Counseling for the Elderly Program Performance Report, is required semiannually.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Organizations must maintain records on expenses volunteers incur and for which they are reimbursed.

FINANCIAL INFORMATION:

**Account Identification:** 20-0912-0-1-803.

**Obligations:** (Direct payments) FY 81 $788,000; FY 82 est $500,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** (FY 81) $520 to $265,000; $35,963. (FY 82) $277 to $473,293; $71,429.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1981, Tax Counseling for the Elderly volunteers prepared over 78,000 federal income tax returns. In addition, volunteers assisted with the preparation of State and local income tax returns. In fiscal year 1981, 33 organizations applied for Tax Counseling for the Elderly funds; eight organizations were selected as program sponsors. In fiscal year 1982, 33 organizations applied for Tax Counseling for the Elderly funds; seven organizations were selected as program sponsors.

REGULATIONS, GUIDELINES, AND LITERATURE: Regulations were published in the Federal Register at 44 F.R. 72113 on December 13, 1979.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Irene Cain, Tax Counseling for the Elderly, Taxpayer Service Division, TX:T:I, Internal Revenue Service, 1111 Constitution Avenue, NW, Washington, DC 20224. Telephone: (202) 566-4904.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: 1) Quality of assistance; 2) Qualifications of the organization; 3) Reasonableness of the proposed budget; 4) Extent of geographical area covered by a program sponsor; 5) Scope of assistance to disabled taxpayers and shut-ins; 6) Existence and quality of prior experience in Federal income tax return preparation; and 7) Completion of the proposal in conformity with the application preparation instructions.

## 21.051 ALCOHOL, TOBACCO, AND FIREARMS—LABORATORY ANALYSIS

**FEDERAL AGENCY:** BUREAU OF ALCOHOL, TOBACCO, AND FIREARMS, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** Title I, II, VII, and XI of the Gun Control Act of 1968, Public Law 90-618; Title XI of the Organized Crime Control Act of 1970, Public Law 91-452; and the Contraband Cigarette Act of 1979.

**OBJECTIVES:** To provide limited laboratory analyses relating to alcohol, tobacco, firearms and explosives law violations for State, county, and local law enforcement agencies.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Laboratory services are available in such areas as voice print, firearm, bullet, and cartridge identification, analysis of gunshot and explosives residue and accelerants associated with Title XI arson, analysis of destructive devices, analysis of alcohol samples, and analysis of ink from documents to determine fraud. The laboratory performs analysis of counterfeit cigarette tax stamps and decals; forensic, fingerprint, document, and trace evidence examination; and photography services. Lab service is limited to states without crime lab capabilities or to unusual and complex cases that require specialized lab capabilities. Formal training program has been cancelled. Informal training is provided at the expense of the local agency.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State, county, and local law enforcement agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the headquarters office.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-1000-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $3,800,000; FY 82 est $1,600,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1979, an estimated 80,000 samples were analyzed for State, county, and local law enforcement agencies. A reduced number were analyzed in fiscal years 1980 and 1981 as laboratory service to State and local agencies were being phased out.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dr. Frank J. Kreysa, Chief, Scientific Services Division, Bureau of Alcohol, Tobacco and Firearms, National Laboratory Center, 1401 Research Blvd., Rockville, Maryland 20850. Telephone: (301) 443-1062.

**RELATED PROGRAMS:** 16.001, Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis; 16.301, Law Enforcement Assistance—FBI Crime Laboratory Support; 16.303, Law Enforcement Assistance—FBI Fingerprint Identification; 21.052, Alcohol, Tobacco, and Firearms—Training Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 21.052 ALCOHOL, TOBACCO, AND FIREARMS—TRAINING ASSISTANCE

**FEDERAL AGENCY:** BUREAU OF ALCOHOL, TOBACCO AND FIREARMS, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** Omnibus Crime Control and Safe Streets Act of 1968, Title XVIII, Public Law 90-351, U.S.C. Appendix; Gun Control Act of 1968, Title XVIII, Public Law 90-618, U.S.C. 44; Organized Crime Control Act of 1970, Title XVIII, Public Law 91-452, U.S.C. 40.

**OBJECTIVES:** To help the participant identify the laws relating to alcohol, tobacco, firearms and explosives, and provide training in specific investigative skills and techniques, and to help State, county, and local law enforcement officers improve their law enforcement capabilities in the organized crime area, including firearms investigations.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Training programs are conducted in the areas of: Identification of the Firearms Problem; Motives and Analysis of Applicable Federal, State and Local Laws; Laboratory Capability; Sources of Information; Interviewing; Investigative Techniques; and Case Management.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State, county, and local law enforcement agencies. Participation is limited to non-uniformed police personnel engaged in firearms investigations or in the process of being assigned or promoted to such non-uniformed assignments.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Submit requests to the Assistant Director (Criminal Enforcement), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, DC 20226.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-1000-0-1-751.

**Obligations:** (Travel and materials) FY 81 $130,000; FY 82 est $35,000; and FY 83 est $35,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 920 law enforcement officers participated in ATF Organized Criminal Investigator training programs. It is estimated that approximately 200 law enforcement officers will participate in ATF programs during fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dennis Snyder, Acting Chief, Training Division, Bureau of Alcohol, Tobacco and Firearms; Room 300, 5600

Columbia Pike, Falls Church, VA 22041. Telephone: (703) 235-1321 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 16.004, Law Enforcement Assistance—Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance—FBI Advanced Police Training; 16.302, Law Enforcement Assistance—FBI Field Police Training; 21.004, Federal Tax Information for State Tax Officials; 21.051, Alcohol, Tobacco, and Firearms—Laboratory Analysis.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 21.100 SECRET SERVICE—TRAINING ACTIVITIES

**FEDERAL AGENCY:** U.S. SECRET SERVICE, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** 18 U.S.C. 3056; Public Law 95-81.

**OBJECTIVES:** To acquaint money handlers and law enforcement officials with the functions of the Secret Service, to train them in the techniques used in detecting counterfeit documents and money, and to acquaint local officials with the techniques of protecting dignitaries; to assist criminal investigators by training them in the basic examination of questioned documents.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Members of a sworn police agency are accepted in limited numbers upon the request of their departmental heads for training in the Secret Service Questioned Document Course. The training, while geared primarily to the Secret Service special agent, will provide solid training in the fundamentals of document analysis with emphasis on handwriting examination and comparison. The Secret Service will provide the police officials with information which will assist them in helping the Secret Service carry out its responsibilities. Bank tellers, department store cashiers, and other money handlers may be trained in the techniques of detecting counterfeit currency. The Protective Operations Briefing, which includes post assignments, use of follow-up vehicles, motorcade techniques, and advanced security arrangements training, is provided for those police officers who have the regular responsibility of protecting dignitaries.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For training in Questioned Document Course and Protective Operations Briefing applicant must be member of a sworn police agency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Contact the headquarters office listed below for admission to Questioned Document Course and the Protective Operations Briefing. Contact regional offices for information or lectures to groups on the detection of counterfeit money.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Questioned Document Course lasts for two weeks; the Protective Operations Briefing is a five day course.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-1408-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $21,000; FY 82 est $21,000; and FY 83 est $21,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 190 State and local police officers were trained. In fiscal years 1982 and 1983, an estimated 225 and 190, respectively, State and local police officers will be trained.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Aberdeen, SD; Albany, NY; Albuquerque, NM; Anchorage, AK; Atlanta, GA; Austin, TX; Baltimore, MD; Birmingham, AL; Boise, ID; Boston, MA; Buffalo, NY; Canton, OH; Charleston, WV; Charlotte, NC; Chattanooga, TN; Cheyenne, WY; Chicago, IL; Cincinnati, OH; Cleveland, OH; Columbia, SC; Columbus, OH; Dallas, TX; Dayton, OH; Denver, CO; Des Moines, IA; Detroit, MI; El Paso, TX; Fort Worth, TX; Fresno, CA; Gettysburg, TX; Grand Rapids, MI; Great Falls, MT; Honolulu, HI; Houston, TX; Indianapolis, IN; Jackson, MS; Jacksonville, FL; Kansas City, MO; Knoxville, TN; Las Vegas, NV; Little Rock, AR; Los Angeles, CA; Louisville, KY; Lubbock, TX; Memphis, TN; Miami, FL; Milwaukee, WI; Minneapolis, MN; Mobile, AL; Nashville, TN; Newark, NJ; New Haven, CT; New Orleans, LA; New York, NY; Norfolk, VA; Oklahoma City, OK; Omaha, NE; Orlando, FL; Paris, France; Philadelphia, PA; Phoenix, AZ; Pittsburgh, PA; Portland, ME; Portland, OR; Providence, RI; Raleigh, NC; Reno, NV; Richmond, VA; Riverside, CA; Roanoke, VA; Sacramento, CA; St. Louis, MO; Salt Lake City, UT; San Antonio, TX; San Diego, CA; San Francisco, CA; San Jose, CA; San Juan, PR; Savannah, GA; Scranton, PA; Seattle, WA; Shreveport, LA; Spokane, WA; Springfield, IL; Syracuse, NY; Tampa, FL; Toledo, OH; Tulsa, OK; Washington, DC; Wichita, KS.

**Headquarters Office:** William R. Barton, Assistant to the Director, Office of Training, U.S. Secret Service, Room 921, 1800 G Street, N.W., Washington, DC 20223. Telephone: (202) 566-6903 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 16.004, Law Enforcement Assistance—Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance—FBI Advanced Police Training; 16.302, Law Enforcement Assistance—FBI Field Police Training.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 21.300 STATE AND LOCAL GOVERNMENT FISCAL ASSISTANCE—GENERAL REVENUE SHARING

### (Revenue Sharing)

**FEDERAL AGENCY:** OFFICE OF REVENUE SHARING, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:** The State and Local Fiscal Assistance Act of 1972, Title I, Public Law 92-512, 86 Stat. 919, 31 U.S.C. 1221, et seq.; Amendments: State and Local Fiscal Assistance Amendments of 1976, Public Law 94-488, 90 Stat. 2341, et seq.; State and Local Fiscal Assistance Act Amendments of 1980, Public Law 96-604, 94 Stat. 3516.

**OBJECTIVES:** To provide financial assistance to State governments and general purpose local governments.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Revenue sharing funds (obligated or appropriated) should be used by a recipient government within 24 months of the end of an entitlement period for any purpose which is a legal use of its own source revenues authorized by its governing body following two public hearings held specifically to permit the public to: (1) suggest proposed use of funds, and (2) discuss the recipient government's proposed use of revenue sharing funds relative to the government's entire budget. Notices of hearings are to be published in local newspapers at least 10 days in advance of each hearing. Adherence to nondiscrimination provisions in any program or activity using revenue sharing funds is required. Adherence to the Davis Bacon Wage Provisions is required in construction projects costing two thousand dollars or more when 25 percent of total costs is paid with Revenue Sharing Funds. Recipient governments may spend revenue sharing funds for the State or local contribution to a Federal matching grant program, provided that this is acceptable to the Federal agency administering the matching grant and does not violate any State or local law. Recipients may transfer shared revenues to secondary recipients. Nondiscrimination requirements continue to be applicable. Funds may not be used for lobbying purposes with respect to the Revenue Sharing Act, as amended.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** General purpose local governments, including the District of Columbia, the governing bodies of Indian tribes or Alaskan native villages performing substantial governmental functions, and the offices of the separate law enforcement officers for county areas (Parishes) in the State of Louisiana. In fiscal years 1982 and 1983, there is an authorization of appropriations for State governments subject to an appropriation by Congress and a requirement for States to refuse or refund an amount of categorical aid equal to their revenue sharing allocations. General purpose local governments are determined by the Census Bureau on the basis of the same principles used for general statistical purposes. Indian tribes and Alaskan native villages performing substantial governmental functions are determined either by the Bureau of Indian Affairs or by a State Governor.

**Beneficiary Eligibility:** Any person, group, or agency may seek revenue sharing funds from a recipient State or local government and must be allowed to participate in two required public hearings on the use of these funds. The final decision about how the recipient government is to use its revenue sharing funds is made by its governing body.

**Credentials/Documentation:** Governments must submit a Statement of Assurances (SOA) as provided by the Office of Revenue Sharing (ORS) signed by the chief executive of each recipient government certifying that funds to which it is entitled for a specific entitlement period will be expended in accordance with the Revenue Sharing Act and regulations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application is not necessary to receive funds. Based upon data furnished by the Census Bureau, funds are automatically allocated to eligible governments.

**Award Procedure:** Eligible recipient governments are notified directly by ORS of their entitlement amounts at the time they are sent Statement of Assurance (SOA) forms.

**Deadlines:** To receive the first scheduled payment of revenue sharing funds for Entitlement Period 14 (federal fiscal year 1983), a recipient government must file a signed SOA not later than December 15, 1982. Assurance forms for Period 14 will be mailed to recipient governments in August 1982.

**Range of Approval/Disapproval Time:** Normally, cards acknowledging receipt of assurance forms are mailed within one month after they are received.

**Appeals:** Recipient governments may challenge the validity of the data of record for their government used in the formula (See Formula and Matching Requirements below) for Entitlement Period 14 until September 30, 1984.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors for fund allocation are: 1. the total population of States and localities and the source is the Bureau of Census population data; 2. the State and national aggregate personal income and the source is the "Personal Income Series", Bureau of Economic Analysis; 3. the per capita State and local income and the source is the Bureau of the Census estimates; 4. the Federal individual income tax liability and the source is the administrative records of the Internal Revenue Service; 5. the State and local tax and the source is the Census Bureau's "Governmental Finances"; 6. the local government adjusted taxes and intergovernmental transfers and the source is the Census Bureau's financial surveys; 7. the urban population from the "1980 Decennial Census"; and 8. the resident Indian population from the Bureau of the Census estimates. Statistical factors used for eligibility do not apply to this program. As required by statute, allocations to the 50 State areas are determined by either a five factor formula (population, urbanized population, per capita income, State income tax collections and tax effort) or a three factor formula (population, tax effort and relative income), whichever produces the higher amount. The State area amount is allocated among local governments based on the formulas specified in the Act. This program has maintenance of effort (MOE) requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:** Entitlement amounts are for a specific entitlement period. Entitlement Period 14 is federal fiscal year 1983. Funds are paid in quarterly installments. Recipient governments have 24 months from the end of an entitlement period to use funds received for that period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Recipient governments are required to respond to the annual Census Bureau General Revenue Sharing Survey, Survey of Local Government Finances and/or similar surveys conducted by a State or county agency in cooperation with the Census Bureau to collect data required for the formula and to report how revenue sharing funds were spent during the fiscal year. Recipient governments are given the opportunity to review and challenge data elements used to compute their allocations.

**Audits:** Recipient governments, which expect to receive $25,000 or more of revenue sharing funds for three consecutive entitlement periods must have an independent financial audit of all their funds and a compliance audit of revenue sharing funds performed in accordance with generally accepted auditing standards, not less often than once every three fiscal years.

**Records:** Recipient governments must establish a local trust fund and deposit all revenue sharing funds and interest earned in it; maintain records sufficient to: document required reports and permit the tracing of revenue sharing funds to establish compliance with requirements; and at a minimum, maintain the same records as required for its own funds. Records are required to be maintained in accordance with the Uniform Guidelines on Employee Selection to document conformance with the nondiscrimination provisions of the Act.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-8111-0-7-851.

**Obligations:** (Grants) FY 81 $4,571,897,000; FY 82 est $4,566,512,000; and FY 83 est $4,566,700,000.

**Range and Average of Financial Assistance:** Smallest allocation amount: $200 (minimum by law); largest allocation amount: $281,431,998 (New York City for FY 83); average allocation amount is $114,422. Indian governments and Alaskan Native villages may receive less than the $200 minimum.

**PROGRAM ACCOMPLISHMENTS:** Approximately 39,909 local governments were eligible to receive $4.6 billion of revenue sharing funds in Entitlement Period 13 (federal fiscal year 1982). Approximately the same number of local governments are eligible to share the same amount in Entitlement Period 14 (federal fiscal year 1983) as was received by local governments in Entitlement Period 13.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final Revenue Sharing Regulations effective October 30, 1981, 31 CFR Part 51; "Revenue Sharing 1981-1983" a plain-language explanation of the General Revenue Sharing Program (in English and Spanish) - Free; "Public Participation in Revenue Sharing" - Public Participation Handbook (in English and Spanish) - Free; Revenue Sharing and Civil Rights - a guide to the nondiscrimination provisions of the State and Local Fiscal Assistance Act-Free; Commentary of the Audit Requirements - Free; The State and Local Fiscal Assistance Act, as amended - Free; "Revenue Sharing Facts for Local Governments" - Free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** (Intergovernmental Relations Division,) Office of Revenue Sharing, 2401 E St., N.W., Washington, DC 20226. Telephone: (202) 634-5200. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# APPALACHIAN REGIONAL COMMISSION

## 23.001 APPALACHIAN REGIONAL DEVELOPMENT (SEE INDIVIDUAL APPALACHIAN PROGRAMS)

**(Appalachian Program)**

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Public Law 89-4; as amended by Public Law 90-103; Public Law 91-123; Public Law 92-65; and Public Law 94-188; Public Law 91-193; Public law 96-506, Public Law 97-35; 40 App. U.S.C. 1-405.

**OBJECTIVES:** To stimulate substantial public investments in public facilities that will start the region on its way toward accelerated social and economic development; to help establish a set of institutions in Appalachia capable of permanently directing the long-term development of the region; and on a joint Federal-State-local basis, to develop comprehensive plans and programs to help accomplish the overall objectives of Appalachian development, including meeting the special demands created by the nation's energy needs and policies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Appalachian funds enable the States and local areas to develop networks of facilities and services. The individual programs following this description illustrate the types of investments that can be made. In considering programs and projects to be given assistance under this Act, and in establishing a priority ranking of the requests for assistance presented to the Commission, the Commission follows procedures insuring consideration of the following factors: (1) the relationship of the project or class of projects to overall regional development, including its location in an area determined by the State as having a significant potential for growth; (2) the population and area to be served by the project or class of projects including the relative per capita income and the unemployment rates in the area; (3) the relative financial resources available to the State or political subdivision or instrumentalities thereof which seek to undertake the project; (4) the importance of the project or class of projects in relation to other projects or classes of projects which may be in competition for the same funds; (5) the prospects that the project for which assistance is sought will improve, on a continuing rather than a temporary basis, the opportunities for employment, the average level of income, or the economic and social development of the area served by the project; and (6) no financial assistance can be used (a) to assist establishments relocating from one area to another; (b) to finance the cost of industrial plants, commercial facilities, machinery, working capital, or other industrial facilities or to enable plant subcontractors to undertake work theretofore performed in another area by other subcontractors or contractors; (c) to finance the cost of facilities for the generation, transmission, or distribution of electric energy; (d) to finance the cost of facilities for the production, transmission, distribution of gas (natural, manufactured, or mixed); (e) to finance projects not already approved in the 1981 Investment Program; or (f) to finance non-capital projects with no prior year obligations. (Note: restriction (b), (c), and (d) on financial assistance may be waived for energy enterprise development and indigenous arts and crafts projects). Each State is required by the Commission to file a State Appalachian development plan annually, appraising prospects for development in its Appalachian area and relating to them all projects for which Appalachian funding is requested in that year. All projects proposed for funding must be included in an annual Implementing Investment Program. Once an application is submitted for the individual projects and given final approval, the grant is administered by the basic Federal agency involved in that type of program except for State research, technical assistance, and demonstrations (23.011); LDD assistance (23.009); State housing technical assistance (23.006); special transportation related planning, research, and demonstrations (23.017); and energy enterprise development, which are administered by ARC. The counties (including any political subdivision located within such area) in which investment under the Appalachian Act (40 App. U.S.C.A. 403) can be made are: in Alabama, the counties of Bibb, Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, DeKalb, Elmore, Etowah, Fayette, Franklin, Jackson, Jefferson, Lamar, Lauderdale, Lawrence, Limestone, Madison, Marion, Marshall, Morgan, Pickens, Randolph, Saint Clair, Shelby, Talladega, Tallapoosa, Tuscaloosa, Walker, and Winston; in Georgia, the counties of Banks, Barrow, Bartow, Carroll, Catoosa, Chattooga, Cherokee, Dade, Dawson, Douglas, Fannin, Floyd, Forsyth, Franklin, Gilmer, Gordon, Gwinnet, Habersham, Hall, Haralson, Heard, Jackson, Lumpkin, Madison, Murray, Paulding, Pickens, Poll, Rabun, Stephens, Towns, Union, Walter, White, and Whitifield; in Kentucky, the counties of Adair, Bath, Bell, Boyd, Breathitt, Carter, Casey, Clark, Clay, Clinton, Cumberland, Elliott, Estill, Fleming, Floyd, Garrard, Green, Greenup, Harlan, Jackson, Johnson, Knott, Knox, Laurel, Lawrence, Lee, Leslie, Letcher, Lewis, Lincoln, McCreary, Madison, Magoffin, Martin, Menifee, Monroe, Montgomery, Morgan, Owsley, Perry, Pike, Powell, Pulaski, Rockcastle, Rowan, Russell, Wayne, Whitley, and Wolfe; in Maryland, the counties of Allegany, Garrett, and Washington; in Mississippi, the counties of Alcorn, Benton, Chickasaw, Choctaw, Clay, Itawamba, Kemper, Lee, Lowndes, Marshall, Monroe, Noxubee, Oktibbeha, Pontotoc, Prentiss, Tippah, Tishomingo, Union, Webster, and Winston; in New York, the counties of Allegany, Broome, Cattaraugus, Chautauqa, Chemung, Chenango, Cortland, Delaware, Otsego, Schoharie, Schuyler, Steuben, Tioga, and Tompkins; in North Carolina, the counties of Alexander, Alleghany, Ashe, Avery, Buncombe, Burke, Caldwell, Cherokee, Clay, Davie, Forsyth, Graham, Haywood, Henderson, Jackson, McDowell, Macon, Madison, Mitchell, Polk, Rutherford, Stokes, Surry, Swain, Transylvania, Watauga, Wilkes, Yadkin, and Yancey; in Ohio, the counties of Adams, Athens, Belmont, Brown, Carroll, Clermont, Coshocton, Gallia, Guernsey, Harrison, Highland, Hocking, Holmes, Jackson, Jefferson, Lawrence, Meigs, Monroe, Morgan, Muskingum, Noble, Perry, Ross, Scioto, Tuscarawas, Vinton, and Washington; in Pennsylvania, the counties of Allegheny, Armstrong, Beaver, Bedford, Blair, Bradford, Butler, Cambria, Cameron, Carbon, Centre, Clarion, Clearfield, Clinton, Columbia, Crawford, Elk, Erie, Fayette, Forest, Fulton, Greene, Huntingdon, Indiana, Jefferson, Juniata, Lackawanna, Lawrence, Luzerne, Lycoming, McKean, Mercer, Mifflin, Monroe, Montour, Northumberland, Perry, Pike, Potter, Schuylkill, Snyder, Somerset, Sullivan, Susquehanna, Tioga, Union, Venango, Warren, Washington, Wayne, Westmoreland, and Wyoming; in South Carolina, the counties of Anderson, Cherokee, Greenville, Oconee, Pickens, and Spartanburg; in Tennessee, the counties of Anderson, Bledsoe, Blount, Bradley, Campbell, Cannon, Carter, Claiborne, Clay, Cocke, Coffee, Cumberland, De Kalb, Fentress, Franklin, Grainger, Greene, Grundy, Hamblen, Hamilton, Hancock, Hawkins, Jackson, Jefferson, Johnson, Knox, Loudon, McMinn, Macon, Marion, Meigs, Monroe, Morgan, Overton, Pickett, Polk, Putman, Rhea, Roane, Scott, Sequatchie, Sevier, Smith, Sullivan, Unicoi, Union, Van Buren, Warren, Washington, and White; in Virginia, the counties of Alleghany, Bath, Bland, Botetourt, Buchanan, Carroll, Craig, Dickenson, Floyd, Giles, Garyson, Highland, Lee, Pulaski, Russell, Scott, Smyth, Tazewell, Washington, Wise, and Wythe; all the counties of West Virginia.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (a) States, and through the States, public bodies and private nonprofit organizations; and (b) limited dividend organizations are eligible for the Appalachian housing fund. All proposed projects must meet the requirements of the State Appalachian plan and the annual State investment program, both of which must be approved annually by the Commission. (See individual Appalachian program descriptions).

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** (See individual Appalachian program descriptions).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** General Nature and Administration of Appalachian Regional Development Program. The Appalachian Regional Development program is a joint Federal-State partnership for the development of the Appalachian region. Responsibility for the development of plans and programs authorized under the Act is vested in the Appalachian Regional Commission, composed of members who are the 13 State Governors (who may appoint alternates) and a Federal Cochairman. General policies and procedures, and the allocation of Appalachian funds among the various programs and states are established by the Commission itself. Application for assistance may only be made through a State member of the Commission. The Appalachian State Alternate's Offices are the coordinators for the Governors for Appalachian investments. Preapplication conferences can determine within a few weeks if the project conforms to the State Appalachian Development Plan. The appropriate local development district director should be the first contact. The District Director or State Alternate's Offices will provide guidance on specific problems and technical assistance in the preparation of applications. (See individual Appalachian program descriptions).

**Application Procedure:** Applications for individual projects must be submitted through and with the approval of the State Alternate to the Appalachian Regional Commission (listed in the Catalog appendix). (See individual Appalachian program description).

**Award Procedure:** Upon receipt of project applications approved by the State, the Federal Cochairman determines that the project satisfies all requirements for assistance under the Act and approves the application. The basic Federal agency is then notified and in most cases administers the grants, and disburses funds. The Appalachian Regional Commission makes notification of grant award to Congressional offices, and the office of the governor of grant approval. (See individual Appalachian program descriptions).

**Deadlines:** (See individual Appalachian Program descriptions).

**Range of Approval/Disapproval Time:** (See individual Appalachian program descriptions).

**Appeals:** There are no formal appeal procedures as such, project review allows for full and free interchange with applicants.

**Renewals:** Generally renewals are not applicable except for the planning and operating grants of demonstration health projects (23.004) for vocational education demonstration grants (23.016), child development grants (23.013), and for the administrative expenses, including technical services, of local development districts (23.009).

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** See individual Appalachian program descriptions. This program has maintenance of effort (MOE) requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:** Not applicable except for five years operating assistance to demonstration health projects (23.004) and child development projects (23.013). Assistance is generally provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reporting and performance monitoring as required by the basic Federal agency and the Commission for those programs directly administered by the Commission. The Commission requires quarterly reports of local development districts and housing technical assistance grants. (See individual Appalachian program descriptions).

**Audits:** Audits as required by the basic Federal agency and the Commission. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Records generally as required by the basic Federal agency, but see local development districts (23.009), research and demonstration (23.011) and housing technical assistance grants (23.005).

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452; 11-4190-0-3-452.

**Obligations:** See individual Appalachian Regional Commission programs.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** See individual Appalachian programs for output information.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Appalachian Regional Commission Code (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); "Appalachia: Goals, Objectives and Development Strategies" and Supplements; applicable State Appalachian Plans and Guidelines; "Appalachia"- a Journal devoted to the special problems of regional development; Annual Reports, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted to the Appalachian State office designated by the Governor. See address appendix. Address other inquiries to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 11.300, Economic Development—Grants for Public Works and Development Facilities; 11.301, Economic Development—Business Development Assistance; 11.304, Economic Development—Public Works Impact Projects; 11.307, Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.002 APPALACHIAN SUPPLEMENTS TO FEDERAL GRANT-IN-AID (COMMUNITY DEVELOPMENT)

### (Supplemental Grants)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 214, Public Law 89-4; as amended by Section 116, Public Law 90-103; Section 107, Public Law 91-123; Section 210, Public Law 92-65; Section 115, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 214.

**OBJECTIVES:** To meet the basic needs of local areas and assist in providing community development opportunities by funding such development facilities as water and sewer systems, sewage treatment plants, recreation centers, industrial sites and other community development facilities. Grants may supplement other Federal grants or, when sufficient Federal funds are unavailable funds may be provided entirely by this program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for providing supplemental funds under any Federal grant-in-aid programs authorized on or before December 31, 1978. To be eligible for special basic grants, projects must be of high priority in the State's Appalachian development plan and either of critical importance to a phased investment and development program for a multicounty area, or of unusual economic benefit to such area. Refer to the Appalachian Regional Development program (23.001) and Section 214 of the Appalachian Regional Commission Code for additional use restrictions. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other resrictions involved.

### ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** States, and through the states, their subdivisions and instrumentalities and private nonprofit agencies.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** Any finding, report, certification, or documentation required to be submitted to the head of the department, agency, or instrumentality of the Federal Government responsible for the administration of the basic Federal grant-in-aid program shall be accepted by the Federal Cochairman with respect to a supplemental grant for any project under such program. Projects must conform to the ARC Code, the ARD Act, and the Appalachian Plan and Investment Program which are submitted annually. Commission regulations require that the Appalachian State Development Plan and Investment Program must be approved and submitted by the Governors; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** The State Alternate's Office is the coordinator for Appalachian investments. Pre-application conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development plan. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in preparation of applications. An environmental impact statement is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Application must be submitted and approved by the State member of Appalachian Regional Commission. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program submitted annually by November 15. Guidelines and forms for funding Appalachian development projects are available from the local development district director and the State Alternate's Office. A letter of transmittal signed by the State member and an executed ARC Form 1 is required with the submission.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The basic Federal agency is then notified and in most cases administers the grants, disburses funds, and notifies the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. The Appalachian Regional Commission makes notification of grant award to Congressional offices, and the Office of the Governor.

**Deadlines:** Proposed projects shall be included in each of the State's approved implementing investment programs, which are submitted annually, on or before November 15. Project applications should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** 30 to 60 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Not applicable.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** At least 20 percent of the eligible development costs must be obtained from sources other than the Federal Government. Section 214 of the Appalachian Regional Commission Code furnishes details. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Estimates" P-25, Bureau of the Census; 2. the land area in square miles in regional area and the source is the "1970 Census"; 3. the relative per capita income in a regional area and the source is from the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Census." Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Assistance is provided until completion; funds are transferred to basic Federal agency and disbursed in manner it specifies. The Commission reserves the right to withdraw grants for projects not under contract within 18 months of approval.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** Reporting and performance monitoring as required by the basic Federal agency.

**Audits:** Audits as required by the basic Federal agency and the Commission. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

### FINANCIAL INFORMATION:

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $36,872,000; FY 82 est $39,000,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $1,561 to $800,000; $283,631.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 130 projects were approved, of which 76 included ARC basic grants. The States concentrated Section 214 supplemental funds on water and sewer needs of the Region (41 percent of the obligations.) In fiscal year 1982, 140 projects are estimated. There were 191 applications received in fiscal year 1981 and of that number, 130 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia"- a journal devoted to the special problems of regional development; Annual Reports, no charge.

### INFORMATION CONTACTS:

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. See Appendix IV of the Catalog. Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Ave., N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 23.004, Appalachian Health Programs; 23.012, Appalachian Vocational and Other Education Facilities and Operations.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.003 APPALACHIAN DEVELOPMENT HIGHWAY SYSTEM

### (Appalachian Corridors)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4; as amended by Section 106, Public Law 90-103; Section 103, Public Law 91-123; Section 110, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 201.

**OBJECTIVES:** To provide a highway system which, in conjunction with other federally-aided highways, will open up areas with development potential within the Appalachian region where commerce and communication have been inhibited by lack of adequate access.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for preliminary engineering, right-of-way, and construction of highways meeting the objectives stated above. Total highway construction may not exceed 3,025 miles for the 13-State system. The highways must be accepted and maintained as a Federal-aid highway. Refer to general use restrictions stated in the Appalachian Regional Development program (23.001). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State governments only are eligible for development highways within their Appalachian portions.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** Segments must be approved by the Appalachian Regional Commission and projects must be processed in accordance with State Highway department and Federal Highway Administration procedures. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The State Highway department coordinates with the Federal Highway Administration, DOT, as in the case of federally aided highway construction. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications.

**Application Procedure:** The Appalachian Regional Commission has established a corridor system. The Appalachian State office designated by the State Member submits an application for construction within this system to the Commission for consideration. The Appalachian Regional Commission must concur in detailed highway locations and construction centerlines. Upon such approval, State highway departments may submit plans to implement projects to the State-level office of Federal Highway Administration.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The Department of Transportation is then notified, administers the grants, disburses funds, and notifies the appropriate State Central Information Reception Agency in accordance with Treasury Circular 1082. The Appalachian Regional Commission notifies the Congressional offices and the office of the Governor of the grant approval.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Usually within 60 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 20 percent of the development cost must be furnished by the State. This program has maintenance of effort (MOE) requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:** Assistance is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The Federal Highway Administration provides the Commission with periodic reports concerning the progress and status of projects. Each participating State makes fiscal year reports to the Commission of its allocations expected to be obligated during the fiscal year with the following information concerning each project to be funded: highway corridor segment description, project number, type of work, estimated total cost, and estimated Section 201 requirement.

**Audits:** The Federal Highway Administration, DOT, supervises audits for the Commission. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Records and time or record maintenance as required by the Federal Highway Administration, DOT.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $220,895,000; FY 82 est $109,917,000; and FY 83 est $0. This program is being proposed for transfer to the Department of Transportation in fiscal year 1983.

**Range and Average of Financial Assistance:** Varies with type of use. Allocations within predetermined system of highways.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 16 miles of construction were contracted and 60 miles were completed. In fiscal year 1982, an estimated 47 miles of construction will be contracted and 94 miles completed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Appalachian Regional Commission Code (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Applachian Plans and Guidelines; "Appalachia"- a journal devoted to the special problems of regional development; Annual Reports, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor (Refer to Catalog e address appendix). Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Ave., N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 20.205, Highway Planning and Construction; 23.008, Appalachian Local Access Roads; 23.017, Appalachian Special Transportation Related Planning, Research and Demonstration Program.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.004 APPALACHIAN HEALTH PROGRAMS

### (Appalachian 202 Health Programs)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965; Sections 202 and 214, Public Law 89-4; as amended by Section 107 and 116, Public Law 90-103; Sections 104 and 107, Public Law 91-123; Sections 206 and 210, Public Law 92-65; Sections 111 and 115, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 202 and 214.

**OBJECTIVES:** To provide a flexible, noncategorical approach to the development of health demonstration projects through community planning on a multicounty basis and implementation of that planning through service.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Multicounty demonstration for health program development, health facilities, health programs, and health innovations such as primary care, nutrition, emergency service, home health care, and manpower and communications in an organized system. Grants are limited to nonprofit institutions or units of government. Refer to use restrictions stated in the Appalachian Regional Development Program (23.001). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, and through the States, health systems agencies, local governments and nonprofit organizations. Construction and operating grants are available only for publicly owned facilities or for facilities owned by public or private nonprofit organizations and not themselves operated for profit.

**Beneficiary Eligibility:** Recipients of health and child development services.

**Credentials/Documentation:** Those required by the Public Health Service, HHS. Projects must conform to the State Appalachian Plan. Commission regulations require the Appalachian State Development Plan and Investment Program to be approved and submitted by the Governors; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is coordinator for Appalachian investments. Preapplication conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian plan. The district director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program for facility construction projects. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be submitted and approved by the State member of the Appalachian Regional Commission. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program submitted annually by November 15. Guidelines and forms for funding Appalachian development projects are available from the local development district director and the State Alternate's Office. A letter of transmittal signed by the State representative and fully executed ARC Form 3's are required together with the basic agency forms.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan, the Federal Cochairman determines that the project satisfies all Federal requirements. The Department of Health and Human Services is notified and administers the grants, disburses funds, and makes notification of grant approval to the appropriate State Central Information Reception Agency in accordance with Treasury Circular 1082. The Appalachian Regional Commission notifies Congressional offices and office of the Governor of the grant approval.

**Deadlines:** Those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually, on or before November 15. Projects should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** Usually within 60 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Prior to October 1 of each fiscal year, the States submit plans for investing funds for health projects. If the plans reflect continuing progress and meet the requirements of providing for the improvement of comprehensive maternal and early childhood health and development services coordinated with other health services, a renewal application will be considered. No operating project may be longer than five years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The applicant must provide 20 percent of construction costs. One hundred percent operating grants may be provided for the first 2 years, and for the next 3 years the applicant must pay 25 percent of costs. Financing may be in combination with grants from other Federal sources, but total Federal share cannot exceed 80 percent for construction projects. The statistical factors used for fund allocation are: 1. the relative population of a state in regional area and the source is "Current Population Reports", P-25, Bureau of the Census; 2. the land area in square miles in regional area and the source is the "1970 Decennial Census"; 3. the relative per capita income in regional area and the source is the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Decennial Census". The statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** One year renewable, five years if annual plans are approved. Assistance is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reporting and performance monitoring as required by the Health Resources Administration, HHS, and the requirements of the Commission.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Same as Reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $8,276,000; FY 82 est $5,800,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $1,200 to $1,250,000; $92,855.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 96 service projects were funded and 21 facilities were approved for construction. In fiscal year 1982, an estimated 45 service projects will be funded and 26 facilities will be approved for construction. There were 169 applications received in fiscal year 1981 and of that number, 121 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia"- a journal devoted to the special problems of regional development; Annual Report-no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 23.002, Appalachian Supplements to Federal Grant-in-Aid (Community Development).

**EXAMPLES OF FUNDED PROJECTS:** 1. Primary Care Centers - construction, equipment and operations - Community health clinics; 2. Manpower Development programs - training of physicians, nurses and ancillary medical personnel; 3. Preventive Health Programs - education, screening, etc.; 4. Emergency Medical Services - planning, equipment, communications.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.005 APPALACHIAN HOUSING PROJECT PLANNING LOAN, TECHNICAL ASSISTANCE GRANT AND SITE DEVELOPMENT AND OFF-SITE IMPROVEMENT GRANT: STATE APPALACHIAN HOUSING PROGRAMS

### (Appalachian Housing Assistance)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 207, Public Law 89-4; as amended by Section 112, Public Law 90-103; Section 106, Public Law 91-123; Section 208, Public Law 92-65; Section 113, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 207.

**OBJECTIVES:** To stimulate low- and moderate-income housing construction and rehabilitation, and to assist in developing site and off-site improvements for low- and moderate-income housing in the Appalachian Region.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Project Planning Loans may be used for costs of planning Federal (HUD and FmHA) and/or State low- and moderate-income housing projects and obtaining project financing. Included may be preliminary surveys of market needs, preliminary site engineering and architectural fees, consultant fees, site options, Federal and/or State agency fees, construction loan fees and discounts, etc. Site Development and Off-Site Improvement Grants may be used only for reasonable site development costs and necessary off-site improvement costs when used in conjunction with Federal (HUD and FmHA) and/or State low- and moderate-income housing programs. The grants must be essential to the economic feasibility of housing constructed or rehabilitated for low- and moderate-income families and individuals. The Commission may provide or contract to provide, technical assistance for construction, rehabilitation and operation of low- and moderate-income housing. Use restrictions are Federal (HUD and FmHA) and/or State low- and moderate-income housing programs and the restrictions stated in Appalachian Regional Development (23.001).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private nonprofit organizations, limited dividend organizations, cooperative organizations, or public bodies.

**Beneficiary Eligibility:** Low- and moderate-income individuals or families.

**Credentials/Documentation:** Requirements are determined by the basic Federal and/or State housing program to which ARC Section 207 Project Planning Loan and/or Site Development Grant applies. Projects must conform to the State Appalachian Development Plan and the State Appalachian Investment Program which must be submitted by the Governor and approved by the Commission annually.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is the coordinator for the Governor, for Appalachian investments. An initial meeting with the State Alternate's Office can determine if the project can be related to the State Appalachian Development Plan and Investment Program. In cases where the project can be so related, a preliminary conference may be held with a State Housing Agency, selected by the Alternate Member to administer all Section 207 projects within the State. At the preliminary conference the project is evaluated and, if it appears to be technically sound, a formal application is filed and processed. The Section 207 program requires coordination with the policies of OMB Circular No. A-95. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program. The standard forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applicant must comply with all current Federal and/or State underwriting requirements.

**Application Procedure:** See Preapplication Coordination above. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Federal Cochairman determines that the State approved project satisfies all Federal requirements and may approve the project and disburse Section 207 funds for the project to the State. The State Housing Agency, selected by the Alternate Member, is then notified and administers the loan or grant and disburses the funds to the project sponsor. The Appalachian Regional Commission notifies Congressional offices and the Governor's office of the grant approval. Notification of awards is made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately 30 days.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Project Planning Loan is basically a loan program. However, in some cases of demonstrated need, the loan may be partially or totally waived for nonprofit, cooperative, and public body sponsors. Up to 80 percent of the total preconstruction expense is supplied by the Commission. The remaining 20 percent is supplied in cash by the sponsor. Site Development and Off-Site Improvement Grants made under this program may cover 100 percent of the reasonable site development costs and necessary off-site improvement costs, but shall not exceed 10 percent of total project costs for new construction, or 10 percent of the reasonable value of rehabilitated housing. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Reports", P-25, Bureau of the Census; 2. the land area in square miles in a regional area and the source is the "1970 Decennial Census"; 3. the relative per capita income in a regional area and the source is the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Decennial Census". Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Assistance is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Processing is carried out by an appropriate State agency. Annual report on all projects is required.

**Audits:** Required annually.

**Records:** Same as Reports above.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-4190-0-3-452; 11-0090-0-1-452.

**Obligations:** (Project Grants) (11-0090-0-1-452) FY 81 $5,261,000; FY 82 est $6,000,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $30,000 to $1,000,000; $526,100.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 12 State housing programs were in operation. In fiscal year 1982, it is estimated that 13 State housing programs will be operating. There were 10 applications received in fiscal year 1981 and of that number, 10 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instructions" (limited distribution); "Appalachia" a journal devoted to the special problems of regional development; Annual Reports (no charge); State Agency Section 207 Administrative Procedures Manuals (for each participating Appalachian State).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State Office designated by the Governor (see Appendix IV of the Catalog). Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATIONS AND AWARD PROCESS.

## 23.008 APPALACHIAN LOCAL ACCESS ROADS

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4; as amended by Section 106, Public Law 90-103; Section 103, Public Law 91-123; Section 204, Public Law 92-65; Section 110, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 201.

**OBJECTIVES:** To provide access to industrial, commercial, educational, recreational, residential, and related transportation facilities which directly or indirectly relate to the improvement of the areas determined by the states to have significant development potential, and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grant may be used for engineering, right-of-way, relocation, and construction of projects relating to the objectives stated above, and those identified in the State Appalachian Development Plan as submitted to, and accepted by the Commission. Total access road construction may not exceed 1,400 miles and the roads must be accepted by the Federal Highway Administration and the State. The State is responsible to see that they are properly maintained. Refer to the Appalachian Regional Development Program (23.001). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and, through the States, public bodies and private groups within Appalachia.

**Beneficiary Eligibility:** Public or private, industrial, commercial, educational, residential and related facilities which directly or indirectly relate to the improvement of the areas determined by the States to have significant development potential.

**Credentials/Documentation:** Concurrence of the State Highway Department and the Federal Highway Administration, and approval of the State member. Projects must conform to Commission regulations which require the Appalachian State Development Plan and Investment Program must be approved and submitted by the State member; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Highway Department coordinates with the Federal Highway Administration as in the case of federally-aided secondary highway construction. The State Alternate's Office is the Coordinator for the Governor for Appalachian investments. Preapplication conferences with the Appalachian local District Director or the State Alternate's office can determine within a few weeks if the Director or State Representive will provide guidance on specific problems and technical assistance in the preparation of applications. An environmental impact statement is required for this program.The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications must be submitted and approved by the State member of the Appalachian Regional Commission. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program submitted annually prior to November 15. Guidance and forms for funding Appalachian Development projects are available from the local development District Director and the State Alternate's office. A letter of transmittal signed by the State member and an ARC Form 2 are required.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The Department of Transportation is then notified to administer the grants, disburse funds and make notification of grant approval to the appropriate State Central Information Reception Agency in accordance with Treasury Circular 1082. The Appalachian Regional Commission notifies the Congressional offices and the office of the Governor of the grant approval.

**Deadlines:** None, except those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually, on or before November 15.

**Range of Approval/Disapproval Time:** Usually within 30 days after the receipt of the application at the Commission. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 20 percent of the development costs must be furnished by the State. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Reports", P-25, Bureau of the Census; and 2. the land area in square miles in a regional area and the source is the "1970 Decennial Census". Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Assistance is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The Federal Highway Administration provides the Commission with periodic reports concerning the progress and status of projects. Each participating State makes fiscal year reports to the Commission of its allocations expected to be obligated during the fiscal year with the following information concerning each project to be funded: segment description, project number, type of work, estimated total cost, and estimated Section 201 requirement.

**Audits:** The Federal Highway Administration, DOT, supervises audits for the Commission. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Government," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Records and time of record maintenance are those required by the Federal Highway Administration, DOT.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $23,278,000; FY 82 est $29,876,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $1,457 to $4,544,550; $895,448.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 4 miles were contracted and 16 miles were completed. In fiscal year 1982, an estimated 92 miles of construction will be contracted and 27 miles completed. There were 41 applications received in fiscal year 1981 and of that number, 25 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia-" a journal devoted to the special problems of regional development; no charge. Annual Reports.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the State Member. (see Appendix IV of the Catalog). Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 20.205, Highway Planning and Construction; 23.003, Appalachian Development Highway System; 23.017, Appalachian Special Transportation Related Planning, Research and Demonstration Program.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.009 APPALACHIAN LOCAL DEVELOPMENT DISTRICT ASSISTANCE

## (LDD)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4; as amended by Section 120, Public Law 90-103; Section 108, Public Law 91-123; Section 211, Public Law 92-65; Section 119, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 302.

**OBJECTIVES:** To provide planning and development resources in multicounty areas; to help develop the technical competence essential to sound development assistance; and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** For administrative expenses, including technical services of certified local development districts; in addition to the uses and use restrictions detailed in the Appalachian Development Program (23.001), the local development district may not use grant funds for real estate, vehicles, space improvement, vehicle repair and maintenance, entertainment, professional dues and generally furniture, equipment and construction. Funds may be used only in the performance of grantees program and in accord with the budget, and amendments thereto, as approved by the Commission. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Multicounty organizations certified by the State.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certificate by the Governor. State Appalachian Plan and Investment Program must describe the procedures for the participation of local development districts in the Appalachian development planning process. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is the coordinator for the Governor, for Appalachian investments. Pre-application conferences with the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development plan. The district director or the State Alternate's Office will provide guidance on specific problems and technical assistance in preparation of application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications must be submitted and approved by the State Member of ARC. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program submitted annually by November 15. Guidelines and forms for funding Appalachian development projects are available from the LDD Director and the State Alternate Office. A letter of transmittal signed by the State Member and Standard Form 424 are required.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The Appalachian Regional Commission makes notification of awards to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082 and also notifies Congressional offices.

**Deadlines:** None, except those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually on or before November 15, and projects should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** Usually within 30 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Renewals and amended applications follow the same procedures as the original application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Applicants must furnish at least 25 percent of total eligible administrative, planning and programming expenses as determined by the Commission.

**Length and Time Phasing of Assistance:** Assistance is provided quarterly for generally 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semi-annual progress and financial reports in a form and manner prescribed by the Commission.

**Audits:** The Commission, the Federal Cochairman of the Commission, and the Comptroller General of the United States shall have access for the purpose of audit and examination. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** The grantee shall keep records for not less than three years which fully disclose the purpose, amount and disposition of ARC funds and other contributions.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $4,850,000; FY 82 est $4,500,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $7,778 to $107,750; $70,293.

**PROGRAM ACCOMPLISHMENTS:** There were and will be 69 planning districts aided in each of fiscal years 1981 and 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "ARC Travel Regulations;" "ARC Section 302A Guidelines" and "Audit Guide for Grants Made Under Section 302(A)(1) of the Appalachian Regional Development Act of 1965, as amended".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. See Appendix IV of the Catalog. Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 11.302, Economic Development—Support for Planning Organizations; 11.303, Economic Development—Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.010 APPALACHIAN MINE AREA RESTORATION

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 205, Public Law 89-4; as amended by Section 110, Public Law 90-103; Section 105, Public Law 91-123; Section 207, Public Law 92-65; Section 112, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 205.

**OBJECTIVES:** To further the economic development of the region by rehabilitating areas presently damaged by deleterious mining practices and by controlling or abating mine drainage pollution, 1981, objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Seal and fill voids in abandoned coal mines and abandoned oil and gas wells; reclaim and rehabilitate lands affected by strip and surface mining and by processing of coal and other minerals including land affected by waste piles, extinguish underground and outcrop mine fires, and control or abate mine drainage pollution and planning and engineering for the above; activities to reclaim strip-mined areas are limited to lands owned by Federal, State, or local bodies of Government or by private nonprofit entities organized under State law to be used for public recreation, conservation, community facilities or public housing, otherwise meeting the restrictions stated under program entitled Appalachian Regional Development (23.001). In addition to actual construction costs, grants may be awarded separately for planning and engineering of potential mining area restoration projects. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and through the States, public bodies or by private nonprofit entities organized under State law to be used for public recreation, conservation, community facilities or public housing owning strip-mined land in need of restoration are eligible. The states are eligible to apply for assistance to seal and fill voids in abandoned coal mines, plan and execute projects for the extinguishment and control of underground and outcrop mine fires, seal abandoned oil and gas wells, and control or abate mine drainage pollution.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The State must demonstrate that the project area has a use that contributes to the economic development investment in the region. Projects must conform to the State Appalachian Plan and Investment Program which is submitted annually. Commission regulations require the Appalachian State Development Plan and Investment Program must be approved and submitted by the Governors; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Appalachian District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. The State Alternate's Office is the coordinator for the Governor for Appalachian investments. Preapplication conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development Plan. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be submitted and approved by the State member of the Appalachian Regional Commission. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program submitted annually by November 15 of each year. Appalachian development information and guidelines are available from the local development district director and the State Alternate's Office. A fully executed ARC Form 1 and a letter of transmittal signed by the State representative are required.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan, the Federal Cochairman determines that the project satisfies all Federal requirements. The Bureau of Mines is notified and in most cases administers the grants, disburses funds, and makes notification of grant award to the appropriate State Central Information Reception Agency in accordance with Treasury Circular 1082. The Appalachian Regional Commission notifies Congressional offices and the office of the Governor of the grant approval.

**Deadlines:** None, except those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the States approved project funding program which is submitted annually, on or before November 15, and projects should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** Usually within three months after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 20 percent of the development costs must be furnished by the State or local public agency. The required 25 percent may be in the form of cash, services and/or acceptable materials identified in Public Law 94-188. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Reports", P-25, Bureau of the Census; 2. the land area in square miles in a regional area and the source is the "1970 Decennial Census"; 3. the relative per capita income in a regional area and the source is the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Decennial Census". Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Assistance is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Those required by the Bureau of Mines, Department of the Interior.

**Audits:** Audits are those required by the Bureau of Mines, Department of the Interior, and the Commission.

**Records:** Same as Audits.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $0; FY 82 est $0; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $0.

**PROGRAM ACCOMPLISHMENTS:** In fiscal years 1981 and 1982, no new projects were or will be approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia"-a journal devoted to the special problems of regional development; Annual Report, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.011 APPALACHIAN STATE RESEARCH, TECHNICAL ASSISTANCE, AND DEMONSTRATION PROJECTS

### (State Research)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4; as amended by Section 120, Public Law 90-103; Section 108, Public Law 91-123; Section 211, Public Law 92-65; Section 119, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 302.

**OBJECTIVES:** To expand the knowledge of the region to the fullest extent possible by means of State-sponsored research (including investigations, studies, technical assistance and demonstration projects) in order to assist the Commission in accomplishing the objectives of the Act.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To research or demonstrate the feasibility of plans and programs for concerted economic and social development. Priority will be given to research of regionwide significance and application. States can carry out investigations, research, studies, evaluations, and assessments of needs, potentials, or attainments of the people of the region, technical assistance, training programs, demonstrations and the construction of necessary facilities incident to such activities. Demonstration programs include rural transportation, indigenous arts and crafts, timber development, junk car and solid waste disposal, and energy-related enterprise development. All developments resulting from such research, and demonstration projects must be made freely available to the general public. Existing research by other agencies is to be utilized as much as possible. State research projects are also subject to the uses and use restrictions described under the Appalachian Regional Development program (23.001). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Appalachian States alone or in combination with other Appalachian States, local public bodies and State instrumentalities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Projects must conform to the State Appalachian Plan and implementing Investment Program which is submitted annually. Commission regulations require that the Appalachian State Development Plan and Investment Program must be approved and submitted by the Governors; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is the coordinator for the Appalachian investments. Preapplication conferences with the Appalachian Local Development District Director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian Development Plan. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by ARC and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** A State or local agency, willing to assume contractual and implementation responsibility for a research and demonstration project, submits an application for consideration through the Appalachian State Alternate's office. Applications must be submitted and approved by the State member of the Appalachian Regional Commission. All proposed projects must relate to the needs identified in the State Appalachian Plan and Investment Program, submitted annually on or before November 15. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The Appalachian Regional Commission makes notification of grant award to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None, except those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually on or before November 15, and projects should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** 36 to 60 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Yes, processed in the same manner as the original application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Generally Federal assistance will not exceed 75 percent for research and planning projects except in the case of demonstrations and technical assistance which may receive up to 100 percent of project costs. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Reports", P-25, Bureau of the Census; 2. the land area in square miles in a regional area and the source is the "1970 Decennial Census"; 3. the relative per capita income in a regional area and the source is the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Decennial Census". Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Usually 12 months, but can be for longer periods. Assistance is provided as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A member of the Commission staff is designated as project coordinator to maintain liaison with the contractor, and monitor and evaluate progress and performance under the contract.

**Audits:** The Commission, the Federal Cochairman of the Commission, and the Comptroller General of the United States shall have access for the purposes of audit and examination. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** As required by the terms of the contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $11,967,000; FY 82 est $9,380,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $2,000 to $720,000; $140,685.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 105 projects were approved. In fiscal year 1982, an estimated 75 projects will be approved. There were 133 applications received in fiscal year 1981 and of that number, 105 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); "Appalachia" a journal devoted to the special problems of regional development; no charge. Annual Reports. "Section 302 (a) (2) State Research and Demonstration Programs, Formal Application Procedures" (limited distribution).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. See Appendix IV of the Catalog. Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.012 APPALACHIAN VOCATIONAL AND OTHER EDUCATION FACILITIES AND OPERATIONS

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Sections 211 and 214, Public Law 89-4; as amended by Sections 113 and 116, Public Law 90-103; Section 107, Public Law 91-123; Sections 209 and 210, Public Law 92-65; Sections 114 and 115, Public Law 94-118; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 211 and 214.

**OBJECTIVES:** To provide the people of the region with the basic facilities, equipment, and operating funds for training and education necessary to obtain employment at their best capability for available job opportunities, and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be utilized for construction and equipment including supplemental grants and operation of publicly owned vocational education facilities and education demonstrations meeting the objectives stated above and the uses and use restrictions detailed in the Appalachian Regional Development program (23.001). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, and through the States public educational institutions and private post-secondary institutions. Most of the proposals are for regional vocational-technical centers serving multicounty areas as well as several school districts. Education demonstration projects must be administered through a public body and be areawide in scope.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** Projects must conform to the State Appalachian Plan and be identified in the State's Investment Program which are submitted annually. Commission regulations require the Appalachian State Development Plan and Investment Program to be approved and submitted by the Governors; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is the coordinator for Appalachian investments. Preapplication conferences with the Appalachian local development district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian Development plan. The district director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program. The standard application forms as furnished by ARC and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be submitted and approved by the State member of the Appalachian Regional Commission. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program which is to be submitted annually by November 15. Appalachian development project information and guidelines are available from the local development district director and the State Alternate's Office. Fully executed ARC Form 1 is required together with the basic agency form for construction and equipment projects. Executed ARC Form 3 is required for operating vocational education and demonstration projects.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The Department of Education is then notified and administers the grant, disburses funds, and makes notification of grant award to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. The Appalachian Regional Commission notifies Congressional offices and the office of the Governor of the grant approval.

**Deadlines:** None, except those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually on or before November 15; projects should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** 30 to 60 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For vocational education projects: the application of the Vocational Education Amendments of 1968 varies from State to State. See your Appalachian State Alternate's Office and your State vocational agency. For education demonstration projects: the applicant must provide 20 percent of construction and equipment costs and 25 percent of the costs of a planning project. Full operating grants are provided for the first two years, and for the next three years, the applicant must pay 25 percent of costs. Financing may be in combination with grants from other Federal sources, but the total Federal share cannot exceed 80 percent of construction and equipment costs. For initial operating costs of education demonstration projects, Federal assistance will not exceed 90 percent. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Reports", P-25, Bureau of the Census; 2. the land area in square miles in a regional area and the source is the "1970 Decennial Census"; 3. the relative per capita income in a regional area and the source is the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Decennial Census". Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** For operation and demonstration projects, one year; continuation applications for additional periods of funding up to a maximum of five years may be submitted.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For operation and demonstration projects, an interim progress report submitted six months prior to the end of the grant period, and a final report submitted within 90 days after the end of the grant period. Additional reports may be required by the State Education Agency and the Division of Vocational and Technical Education, Office of Education.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Same as Reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $14,005,000; FY 82 est $7,600,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $6,780; to $1,000,000; $184,482.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 37 construction projects and 49 additional operating and demonstration projects were approved. In fiscal year 1982, an estimated 21 construction projects and 25 additional operating and demonstration projects will be approved. There were 112 applications received in fiscal year 1981 and of that number, 86 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia"- a journal devoted to the special problems of regional development, no charge; Annual Reports.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor (see Appendix IV of the Catalog). Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 23.002, Appalachian Supplements to Federal Grant-in-Aid (Community Development).

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.013 APPALACHIAN CHILD DEVELOPMENT

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 202, Public Law 89-4; as amended by Section 107, Public Law 90-103; Section 104, Public Law 91-123; Section 206, Public Law 92-65; Section 111, Public Law 94-188; Public Law 95-193; Section 3, Public Law 96-506; Section 2, Public Law 96-545; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 202.

**OBJECTIVES:** To create a State and sub-state capability for planning child development programs and a program to provide child development services in underserved areas throughout the region and to test innovative projects and programs for replicability.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Planning grants will be awarded only to the State Interagency Committee designated by the Governor. The planning process must include the development of a comprehensive child development plan. Technical assistance grants are also awarded. Section 202 specifically provides that demonstration funds may be used as the local matching share with Social Security Act XX A (Aid to Families with Dependent Children) and B (Child Welfare Services) funds, notwithstanding the lack of State-wide coverage of the ARC program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State interagency committees are eligible for planning grants. Public and private nonprofit organizations are eligible for project grants, if the projects are consistent with the State plan and priorities.

**Beneficiary Eligibility:** Children up to six years of age and their families.

**Credentials/Documentation:** Projects must conform to the State Appalachian Plan and Investment Program which are submitted annually. Commission regulations require the Appalachian State Development Plan and Investment Program to be approved and submitted by the Governors; due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Project proposals must include a plan for self-sufficiency beyond the period of ARC support.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is the coordinator for the Governor, for Appalachian investments. Pre-application conferences with the Appalachian local district director or the State Alternate's Office can determine if the project can be related to the State Appalachian development plan and the child development priorities. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications must be submitted and approved by the State member of the Appalachian Regional Commission. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program which is to be submitted annually by November 15. Guidelines are available from the State Alternate's Office. Fully executed ARC Form 3's are required together with the basic agency forms.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan, the Federal Cochairman determines that the project satisfies all Federal requirements. The Department of Health and Human Services is then notified and administers the grant, disburses funds, and makes notification of grant award to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. The Commission notifies the Congressional offices and the office of the Governor of the grant approval.

**Deadlines:** None, except those imposed by each State, and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually on or before November 15, and projects should be submitted to the Commission by June 15.

**Range of Approval/Disapproval Time:** Usually within 90 days after the receipt of the application at the Commission.

**Appeals:** None.

**Renewals:** Application for continuation must be submitted 90 days before expiration of the current grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For operating grants, a gradual scale of non-Federal cash support is required with a minimum cash requirement of 5 percent in the first year, 10 percent in the second year, and 15 percent in the third and subsequent years. For grants for planning, program development and evaluation, the Federal share shall not exceed 75 percent of the total cost. Equipment and construction projects are limited to a maximum of 80 percent Federal participation. The statistical factors used for fund allocation are: 1. the relative population of a State in a regional area and the source is the "Current Population Reports", P-25, Bureau of the Census; 2. the land area in square miles in a regional area and the source is the "1970 Decennial Census"; 3. the relative per capita income in a regional area and the source is the Bureau of Economic Analysis; and 4. the relative number of 14 to 17 year olds not in school in a regional area and the source is the "1970 Decennial Census". Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Planning and program development grants are one-year renewable. Operating grants normally are limited to three years of assistance, with provision for continuation assistance under special circumstances. Earliest possible self-sufficiency is encouraged.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reporting and performance monitoring are those required by the Office of Human Development Services, HHS, and the requirements of the Commission.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Same as Reports.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $5,842,000; FY 82 est $3,100,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $2,100 to $1,433,461; $69,550.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 84 service projects were funded. In fiscal year 1982, 22 projects are estimated to be funded. There were 96 applications received in fiscal year 1981 and of that number, 84 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Preparation Instruction" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia"-a journal devoted to the special problems of regional development; Annual Report, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor (see Appendix IV of the Catalog). Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 10.555, National School Lunch Program; 10.557, Special Supplemental Food Program for Women, Infants, and Children; 13.600, Administration for Children, Youth and Families—Head Start; 13.645, Child Welfare Services—State Grants; 13.646, Work Incentive Program; 13.714, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Comprehensive day care; Maternal/child health; Planning, technical assistance; Parent training; Social Services; Construction/renovation.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 23.017 APPALACHIAN SPECIAL TRANSPORTATION RELATED PLANNING, RESEARCH AND DEMONSTRATION PROGRAM

### (ARC 201A-11 Program)

**FEDERAL AGENCY:** APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:** Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4; as amended by Section 106, Public Law 90-103; Section 103, Public Law 91-123; Section 110, Public Law 94-188; Section 3, Public Law 96-506; and Section 1822a, Public Law 97-35; 40 App. U.S.C. 201.

**OBJECTIVES:** To encourage the preparation of action oriented plans and programs which reinforce and enhance other transportation, but particularly highway, investments.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** May be used for planning research and demonstration projects which, (1) lead to the preparation of plans and programs for obtaining optimum physical, social and economic gains from transportation investments in the Appalachian region; (2) may be associated with major highway and transportation investments in the region, including particularly the Appalachian development highway system; and (3) provide for the protection of highway investments in the region, particularly with respect to safety and traffic movement. Funds under this program shall not be used for traditional traffic surveys or for rural transit demonstrations. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, and nonprofit agencies.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** Projects must conform to the State Appalachian Plan and Investment Program which are approved and submitted by the Governors, due November 15. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Alternate's Office is coordinator for the Governor for Appalachian investments. Preappliction conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian Plan. State Alternate's Office or the district director will provide guidance on specific problems and technical assistance in the preparation of applications. An environmental impact statement is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications must be submitted and approved by the State Member of ARC. All proposed projects must meet the requirements of the State Appalachian Plan and Investment Program submitted annually prior to November 15. Guidelines and forms for funding Appalachian development projects are available from the local district Director and State Alternate's Office. A letter of transmittal signed by the State Member and an executed ARC Form 1 are required. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Investment Program, the Federal Cochairman determines that the project satisfies all Federal requirements. The Appalachian Regional Commission makes notification of grant award to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082, and the Office of the Governor.

**Deadlines:** None, except those imposed by each State and the general requirement of the Commission; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually, on or before November 15. Also, each State's fiscal year allocation must be obligated prior to the end of that fiscal year.

**Range of Approval/Disapproval Time:** Usually within 45 days of receipt.

**Appeals:** None.

**Renewals:** Usually none.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each state received a fiscal year allocation determined by the Appalachian Regional Commission. At least 20 percent of eligible and approved activity costs must be from nonfederal sources.

**Length and Time Phasing of Assistance:** Usually 12-month project lengths with quarterly progress payments.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Usually quarterly progress reports, final project and financial reports.

**Audits:** The Commission, the Federal Cochairman of the Commission, and the Comptroller General of the United States, shall have access for the purpose of audit and examination. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** The grantee shall keep records for not less than three years which fully disclose the purpose, amount and disposition of ARC funds and other contributions.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0090-0-1-452.

**Obligations:** (Grants) FY 81 $1,202,000; FY 82 est $713,000; and FY 83 est $0. This program is being proposed for termination in fiscal year 1983.

**Range and Average of Financial Assistance:** $1,260 to $150,179; $58,748.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 23 projects were approved. In fiscal year 1982, an estimated 10 projects will be approved. There were 23 applications received in fiscal year 1981 and of that number, 23 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Appalachian Regional Commission Code" (limited distribution); and supplemental guidelines available from State Member and the Appalachian Regional Commission.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog.

**Headquarters Office:** Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. See Appendix IV of the Catalog. Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, NW, Washington, DC 20235. Telephone: (202) 673-7874.

**RELATED PROGRAMS:** 20.205, Highway Planning and Construction; 23.003, Appalachian Development Highway System; 23.008, Appalachian Local Access Roads.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

# CIVIL AERONAUTICS BOARD

## 26.002 AIR TRANSPORTATION—CONSUMER AFFAIRS

**FEDERAL AGENCY:** CIVIL AERONAUTICS BOARD

**AUTHORIZATION:** Federal Aviation Act of 1958 as amended, Section 1002(a); 49 U.S.C. 1301, Public Law 85-726 CFR title 14, Section 204, 302.200, and 384.7.

**OBJECTIVES:** To maintain and improve service provided to the public by domestic and foreign air carriers.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The Office of Congressional Community and Consumer Affairs provides assistance and information to consumers trying to resolve complaints against airlines, travel agents, tour operators, and freight forwarders. The Bureau also provides information about specific air travel problems such as lost baggage, oversold flights, scheduling problems and overcharges, and will refer people to agencies in their communities that provide help through local Small Claims courts when informal mediation efforts fail. The public should be aware that the Civil Aeronautics Board will sunset by 1985. Staff reductions in anticipation of sunset may limit the amount of assistance that can be provided.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All users of air transportation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Complainants may send a letter stating pertinent facts about the incident that caused the complaint as well as copies (never originals) of tickets, baggage tags, or airway bills if these documents help to explain the nature of the problem.

**Award Procedure:** Not applicable.

**Deadlines:** None, but complaint should be filed as soon as possible after the problem occurs.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 70-1226-0-1-402.

**Obligations:** (Salaries and expenses) FY 81 $1,576,000; FY 82 est $860,000; and FY 83 est $319,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Actual consumer complaints processed during fiscal year 1981 totaled 16,800.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Copies of the pamphlet "Fly-Rights, A Guide to Air Travel in the U.S." are available from the Consumer Information Center, Dept. B, Pueblo, Colorado 81009.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Dean Witt, O'Hare Lake Office Plaza, Room 254, 2300 East Devon Avenue, Des Plaines, IL 60018. Telephone: (312) 694-2686; George S. Minichiello, 90 Church Street, Room 1316, New York 10007. (212) 264-1700; Ellen Rose, P.O. Box 92007, Los Angeles, CA 90009. (213) 536-6297.

**Headquarters Office:** Office of Congressional, Community and Consumer Affairs, Civil Aeronautics Board, 1825 Connecticut Avenue, NW, Washington, DC 20428. Telephone: (202) 673-6047.

**RELATED PROGRAMS:** 33.001, Shipping—Investigation of Complaints; 41.002, Interstate Commerce—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 26.003 PAYMENTS FOR ESSENTIAL AIR SERVICES

**FEDERAL AGENCY:** CIVIL AERONAUTICS BOARD

**AUTHORIZATION:** Federal Aviation Act of 1958, as amended by Public Law 95-504.

**OBJECTIVES:** To provide essential air transportation to eligible communities by subsidizing air service.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Subsidy payments are made to air carriers providing essential air services that would not be provided but for subsidy. Subsidy is paid to cover the carrier's costs and return needs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Carrier must be found fit by the Board and must be selected to perform the subsidized service.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Financial statements and detailed operating statistics.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** As according to 14 CFR, Part 324 and specific Board requests in docketed cases.

**Award Procedure:** Evaluation of applications according to factors established in Section 419 of the Act and any Board-established factors.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Two to four months.

**Appeals:** As according to 14 CFR, Part 302.37.

**Renewals:** Not yet established.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** In accordance with Board evaluation and determination of demonstrated need.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not yet established.

**Audits:** Carriers are subject to audits of fitness and Title VI regulations. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Not yet established.

**FINANCIAL INFORMATION:**

**Account Identification:** 70-1236-0-1-402.

**Obligations:** (Direct payments) FY 81 $10,214,000; FY 82 est $22,458,000; and FY 83 est $44,400,000.

**Range and Average of Financial Assistance:** Range: $95,777 $1,631,171 annually; Average: $366,000.

**PROGRAM ACCOMPLISHMENTS:** Essential air service has been maintained in communities affected by airline deregulation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Aviation Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Bureau of Domestic Aviation, B-60, Civil Aeronautics Board, 1825 Connecticut Avenue, NW, Washington, DC 20428. Telephone: (202) 673-5319.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Essential Air Service to New Bedford, MA, CAB Docket 37498; Essential Service to Hot Springs, Arkansas, CAB Docket 38734.

**CRITERIA FOR SELECTING PROPOSALS:** Established by precedent in individual docketed cases.

## 27.001 FEDERAL CIVIL SERVICE EMPLOYMENT

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** The Civil Service Reform Act of 1978, Public Law 95-454,; Reorganization Plan No. 2 of 1978.

**OBJECTIVES:** To fill U.S. Government job vacancies with the best qualified applicants available.

**TYPES OF ASSISTANCE:** Federal Employment.

**USES AND USE RESTRICTIONS:** Positions with Federal agencies are filled without discrimination in regards to race, religion, sex, politics, age or any other nonmerit factor. In most cases, applicants qualify by passing a competitive examination. Requirements are set in relation to the duties to be performed. Veterans receive preference.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any United States citizen, age 18 or older, may apply. There are special programs to help place the physically handicapped, the mentally retarded or mentally restored, and the disadvantaged. An arrest record does not automatically bar a person from Federal employment.

**Beneficiary Eligibility:** U.S. Citizens, age 18 or older.

**Credentials/Documentation:** Dependent upon prerequisite requirements for each position.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** By application forms available from Job Information Centers of the Office of Personnel Management (OPM).

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** An applicant may appeal his rating, whether eligible or ineligible to the OPM office that assigned the rating. Final decisions on appeals in examinations under regional jurisdiction are rendered at the regional offices.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-0100-0-1-805.

**Obligations:** (Salaries and expenses) FY 81 $34,888,300; FY 82 est $32,993,000; and FY 83 est $32,263,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 788,132 applications for Federal employment were processed, 6,343,368 inquiries about Federal employment were answered, and 88,632 competitive Federal civil service appointments were made. Fiscal year 1982 projections are that 729,100 applications will be processed, 5,654,400 inquiries will be answered, and 82,100 competitive appointments will be made, referred from lists of eligibles by OPM Offices.

**REGULATIONS, GUIDELINES, AND LITERATURE:** List of open examinations and forms for requesting applications are available without cost at OPM Area Offices, Federal Job Information Centers, and offices of State employment services.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Federal Job Information Centers of the Office of Personnel Management listed in Appendix IV of the Catalog.

**Headquarters Office:** (Also serves Washington, DC Area). Office of Personnel Management, Examination Planning and Recruitment Branch, 1900 E Street, N.W., Washington, DC 20415. Contact: Donald Holum (202) 632-6251.

**RELATED PROGRAMS:** 17.207, Employment Service; 27.002, Federal Employment Assistance for Veterans; 27.003, Federal Employment for Disadvantaged Youth—Part-Time; 27.004, Federal Employment for Disadvantaged Youth—Summer; 27.005, Federal Employment for the Handicapped; 27.006, Federal Summer Employment.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.002 FEDERAL EMPLOYMENT ASSISTANCE FOR VETERANS

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** Veterans Preference Act of 1944, Public Laws 78-359, 93-508, 94-502, 95-520, 95-454 and 97-72; Executive Order 11521, March 26, 1970.

**OBJECTIVES:** To provide assistance to veterans in obtaining Federal employment.

**TYPES OF ASSISTANCE:** Federal Employment.

**USES AND USE RESTRICTIONS:** All veterans are entitled to advisory services and counseling on Federal employment from OPM offices. Veterans separated from the armed forces under honorable conditions receive five points; disabled veterans and certain wives or husbands, widows or widowers, and mothers of veterans receive 10 points added to earned eligible ratings in Civil Service examination. Under the Veterans Readjustment Appointment Program, noncompetitive appointments of eligible Vietnam veterans may be made to established positions in the competitive service in grades one through seven, in accordance with regulations issued by the Office of Personnel Management. Veterans must meet minimum qualifications requirements for the positions, in grades four through seven, written tests if required may be waived for veterans readjustment appointees by an agency. Other than dishonorable military service during the period August 5, 1964-May 7, 1975, meets the full qualification requirements for grades one through three. Employment is contingent on participation in a program of education or training. Under the special appointing authority for 30% or more disabled veterans, veterans with service-connected disability ratings 30% or more may be appointed noncompetitively to any grade level in the competitive service.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Five-point preference is given to veterans separated under honorable conditions, on whose dishonorable DD-214 military discharge documentation has been upgraded to honorable conditions and who served on active duty in the armed forces of the United States during certain periods of time. Ten-point preference is given to disabled veterans and certain wives or husbands, widows or widowers, and mothers of veterans. Veterans with no more than 14 years of education who served in the armed forces during the period August 5, 1964-May 7, 1975, are eligible for a veterans readjustment appointment, however this education limitation does not apply to compensibly disabled veterans. Public Law 94-502 authorizes Federal agencies to provide unpaid training or work experience, as a part of vocational rehabilitation for a disabled veteran. Such training may be designed to provide noncompetitive appointment.

**Beneficiary Eligibility:** Honorably separated veterans, disabled veterans and certain wives or husbands, widows, widowers, and mothers of veterans.

**Credentials/Documentation:** For veterans preference, generally proof of honorable separation such as discharge certificate or DD Form 214. In addition, for 10-point preference, a letter from Veterans Administration or military department certifying existence of service-connected disability. When the 10-point preference is based on the award of a Purple Heart, official documentation of the award is sufficient.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By application forms available from Federal Job Information Centers or Area Office of the Office of Personnel Management. Veterans eligible for the noncompetitive appointment mentioned above may also make personal contact with any Federal agency.

**Award Procedure:** None.

**Deadlines:** Under Public Law 95-454, retired members of the armed forces will no longer be considered preference eligibles as of October 1, 1980, unless they are disabled veterans or retired below the rank of Major or the equivalent.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-0100-0-1-805.

**Obligations:** (Salaries and expenses) FY 81 $600,000; FY 82 est $600,000; and FY 83 est not presently available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** As of March 31, 1981, 1,180,000 veterans made up 44 percent of the Federal work force. Of these, 30 percent are Vietnam era veterans. Of the 167,000 veterans who are disabled, 28 percent are Vietnam era veterans. Vietnam era veterans were 76 percent of all veterans hired in fiscal year 1980. Nearly 21,700 Vietnam era veterans were hired under the Veterans Readjustment Appointment (VRA) authority in fiscal year 1980. (VRA) authority in fiscal year 1980. There were 372 appointments using the special noncompetitive hiring authority for 30 percent or more disabled veterans during fiscal year 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Veterans Readjustment Appointment," EV-1-no charge; "Veterans Preference in Federal Employment," EV-2-no charge; "Military Retirees in Federal Employment", EV-4-no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Federal Job Information Centers of the Office of Personnel Management. For further information contact the Office of Personnel Management regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Veterans Employment Programs, Office of Affirmative Employment Programs, Workforce Effectiveness and Development Group, Office of Personnel Management, 1900 E Street, N.W., Washington, DC 20415. Telephone: (202) 254-3058. Contact: James Edwards, Jr.

**RELATED PROGRAMS:** 17.102, Veterans Reemployment Rights; 17.207, Employment Service; 27.001, Federal Civil Service Employment; 27.005, Federal Employment for the Handicapped; 64.115, Veterans Information and Assistance; 64.116, Vocational Rehabilitation for Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.003 FEDERAL EMPLOYMENT FOR DISADVANTAGED YOUTH—PART-TIME

### (Stay-in-School Program)

**FEDERAL AGENCY: OFFICE OF PERSONNEL MANAGEMENT**

**AUTHORIZATION:** The Civil Service Reform Act of 1978, Public Law 95-454; Reorganization Plan No. 2 of 1978.

**OBJECTIVES:** To give disadvantaged young people, 16 years of age and older, an opportunity for part-time employment with Federal agencies to allow them to continue their education without interruptions caused by financial pressures.

**TYPES OF ASSISTANCE:** Federal Employment.

**USES AND USE RESTRICTIONS:** Young people enrolled as substantially full-time students at accredited secondary schools or at institutions of higher learning through the baccalaureate level and who meet the financial need criterion of the program are permitted to work up to 20 hours per week during the school year and to work a regular, 40-hour week during extended vacation periods. Appointments may be made at any time during the course of the year except for the period May 13 through August 31. However, students already working for the Federal Government prior to May 13 may be continued through the summer months.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Disadvantaged young people, 16 years of age and older: (1) Must be accepted for, or enrolled in an accredited secondary school or institution of higher learning, pursuing an education no higher than the baccalaureate level, (2) maintain an acceptable school standing, and (3) need their job earnings to stay in school.

**Beneficiary Eligibility:** Disadvantaged youth, 16 year of age and older.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Registration with student financial aid officers, guidance counselors, or the youth division of local offices of the State employment service.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** Funded by accounts of numerous participating Federal agencies.

**Obligations:** (Salaries and expenses) FY 81 $118,400,000; FY 82 est $100,000,000; and FY 83 est $92,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, an average of 20,000 youths per month participated and it is estimated that an average of 18,000 will be employed per month in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Youth on the Job," Pamphlet BRE-19-no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Information is available from Office of Personnel Management regional offices, Federal Job Information Centers listed in Appendix IV of the Catalog.

**Headquarters Office:** Recruitment and Examining Division, Staffing Services Group, Office of Personnel Management, Washington, DC 20415. Telephone: (202) 632-6251. Contact: Allan Heuerman.

**RELATED PROGRAMS:** 17.207, Employment Service; 27.001, Federal Civil Service Employment; 27.004, Federal Employment for Disadvantaged Youth—Summer; 27.006, Federal Summer Employment.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.004 FEDERAL EMPLOYMENT FOR DISADVANTAGED YOUTH—SUMMER

### (Summer Aids)

**FEDERAL AGENCY: OFFICE OF PERSONNEL MANAGEMENT**

**AUTHORIZATION:** The Civil Service Reform Act of 1978, Public Law 95-454, Reorganization Plan No. 2 of 1978.

**OBJECTIVES:** To give disadvantaged young people, 16 years of age and older, meaningful summer employment with the Federal Government.

**TYPES OF ASSISTANCE:** Federal Employment.

**USES AND USE RESTRICTIONS:** This program is intended to assist needy young people, 16 years of age and older to gain productive work experience in the Federal Government and to earn money which they need to return to school. Federal agencies place requests for personnel with the appropriate office of a State employment service. That office screens young people for family income status eligibility and refers eligibles directly to Federal employers. No special skills or experience are required. Youths hired as Summer Aides are paid at the Federal minimum wage rate.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** To be eligible, a youth must meet the economic needs criteria, based upon income levels used by the Department of Labor in administration of federally financed employment and training programs.

**Beneficiary Eligibility:** Disadvantaged youth, 16 years of age and older.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Interested youths should register early during each calendar year (preferably January through March) with the youth division of the local State employment offices, school counselors or neighborhood youth centers.

**Award Procedure:** None.

**Deadlines:** Application should be made at the earliest possible date after the first of the year.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** Funded by various accounts of participating agencies.

**Obligations:** (Salaries and expenses) FY 81 $41,000,000; FY 82 est $32,000,000; and FY 83 est $28,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, in excess of 31,000 appointments of youths were made by Federal agencies. The fiscal year 1982 estimate is 25,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Youth on the Job," Pamphlet BRE-19-no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Local offices of the State employment service. Information is also available from Office of Personnel Management regional offices, and Federal Job Information Centers, listed in Appendix IV of the Catalog.

**Headquarters Office:** Recruitment and Examining Division, Staffing, Office of Personnel Management, Washington, DC 20415. Telephone: (202) 632-6251. Contact: Allan Heuerman.

**RELATED PROGRAMS:** 17.207, Employment Service; 27.001, Federal Civil Service Employment; 27.003, Federal Employment for Disadvantaged Youth—Part-Time; 27.006, Federal Summer Employment.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.005 FEDERAL EMPLOYMENT FOR THE HANDICAPPED

### (Selective Placement Programs)

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** Rehabilitation Act of 1973, Public Law 93-112 as amended by Public Laws 93-508, 93-516, 95-454, 95-602 and 96-923.

**OBJECTIVES:** To provide assistance to handicapped persons in obtaining and retaining Federal employment.

**TYPES OF ASSISTANCE:** Federal Employment.

**USES AND USE RESTRICTIONS:** The Federal Government provides employment opportunities to the physically handicapped, the mentally retarded, and the mentally restored in positions for which they can qualify. The Selective Placement Program is specifically directed toward the utilization of all groups of handicapped persons. It is concerned principally with referral, placement, special appointing authorities, and the retention of Federal employees who become disabled for one position, but may qualify for others. Each Federal employer has a Coordinator for Selective Placement with specific responsibility for assuring that qualified handicapped applicants receive full consideration for employment. Implementation of the program includes close working relationships with State vocational rehabilitation agencies, Veterans Administration facilities, and other public and private agencies concerned with rehabilitation of the handicapped.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Persons with physical or mental disabilities who are interested in Federal employment.

**Beneficiary Eligibility:** Persons with physical or mental disabilities.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Handicapped persons, disabled veterans or rehabilitation personnel working in their behalf should contact the appropriate regional or local office of the Office of Personnel Management listed in Appendix IV of the Catalog, or the coordinator for selective placement in a local Federal agency.

**Award Procedure:** None.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-0100-0-1-805.

**Obligations:** (Salaries and expenses) FY 81 $538,000; FY 82 est $538,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In calendar year 1982, the Office of Selective Placement Programs will provide technical assistance and personnel management guidance to Federal agencies in order to ensure that handicapped persons are employed in a wide range of occupations and grade levels. The Office of Selective Placement Programs will work in close conjunction with the Equal Employment Opportunity Commission and the Interagency Committee on Handicapped Employees in order to achieve this goal.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Handbook of Selective Placement of Persons with Physical and Mental Handicaps in Federal Civil Service Employment" - OPM Document 125-11-3, for sale by the Superintendent of Documents, U.S. Government Printing Office Washington, DC 20402. Stock Number

1981-354-862, and "Handbook of Reasonable Accommodation", OPM Document PMS 720-A.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Information may be obtained from Office of Personnel Management regional offices, area offices, and Federal Job Information Centers, listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Selective Placement, Office of Affirmative Employment Programs, Workforce Effectiveness and Development Group, Office of Personnel Management, Washington, DC 20415. Telephone: (202) 632-5687. Contact: Mrs. Hedwig Oswald, Director.

**RELATED PROGRAMS:** 13.613, Mental Retardation—President's Committee on Mental Retardation; 17.207, Employment Service; 27.001, Federal Civil Service Employment; 27.002, Federal Employment Assistance for Veterans; 53.001, Handicapped Employment Promotion; 84.128, Rehabilitation Services—Special Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.006 FEDERAL SUMMER EMPLOYMENT
### (Summer Jobs in Federal Agencies)

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** The Civil Service Reform Act of 1978, Public Law 95-454.

**OBJECTIVES:** To provide summer employment primarily for college students, and high school students with special skills.

**TYPES OF ASSISTANCE:** Federal Employment.

**USES AND USE RESTRICTIONS:** Most Federal agencies employ college students, as well as high school students with special skills, during summer vacation periods. The jobs may be clerical, crafts and trades, administrative or subprofessional related to career interests. Employees are paid at the regular Federal pay rate for the position.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any U.S. citizen may apply. The minimum age requirement is 18 years at time of appointment to a clerical summer job and 16 years for other jobs. The 18 year requirement for clerical jobs is waived for high school graduates who are at least 16 years old at time of appointment. Except for jobs for disadvantaged youth, summer jobs are filled through agency staffing plans as outlined in the Office of Personnel Management's (OPM) "Summer Jobs," Announcement 414 issued in early December.

**Beneficiary Eligibility:** U.S. Citizens, 18 years old at time of appointment to a clerical summer job (waived for high school graduates who are at least age 16 at time of appointment) and 16 years for other types of jobs.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Application forms and instructions are available at Job Information Centers or the Office of Personnel Management regional offices listed in Appendix IV of the Catalog.

**Award Procedure:** None.

**Deadlines:** Applicants apply directly to agencies. Deadlines vary by agency and are listed in Announcement 414.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** Funded by various accounts of participating Federal agencies.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, there were approximately 18,000 summer hires. Fewer hires are projected for 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Announcement No. 414, "Summer Jobs in Federal Agencies" no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Federal Job Information Centers of the Office of Personnel Management, listed in Appendix IV of the Catalog. Further information may also be obtained from Office of Personnel Management regional offices, listed in Appendix IV of the Catalog.

**Headquarters Office:** (Also serves Washington, DC Area) Federal Job Information Center, Office of Personnel Management, 1900 E Street, N.W., Washington, DC 20415. Telephone: (202) 737-9616. Contact: Barbara Arnelle, Telephone: (202) 632-6030, for program information only.

**RELATED PROGRAMS:** 27.001, Federal Civil Service Employment; 27.003, Federal Employment for Disadvantaged Youth—Part-Time; 27.004, Federal Employment for Disadvantaged Youth—Summer.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.008 INTERGOVERNMENTAL COOPERATION IN RECRUITING AND EXAMINING

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** Intergovernmental Personnel Act of 1970, Section 204, Public Law 91-648; Indian Self-Determination and Education Assistance Act, Public Law 93-638, Section 105, 25 U.S.C. 450; Intergovernmental Cooperation Act of 1968, Title III, Public Law 90-577, 42 U.S.C. 4222; Office of Management and Budget Circular No. A-97, August 29, 1969; Executive Order 9830, February 24, 1947.

**OBJECTIVES:** To assist State and local governments to strengthen their staffs through: (a) participation with the Office of Personnel Management (OPM) in share-costs recruiting and staffing activities and (b) use of Federal registers for recruiting purposes on a reimbursable basis.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** OPM will consider participating in cooperative shared-costs projects and providing reimbursable recruiting and examining services in the following categories: (1) design and operation of intergovernmental staffing systems for cooperative Federal/State/local government use; (2) State and local government use of Federal eligibility lists and application blanks; (3) cooperation in examining qualifications evaluation, cooperative merit ranking, etc.; (4) cooperation in recruitment-intergovernmental job information centers, joint publicity and advertising, and similar combined efforts to recruit for public employment. Assistance of more than a very limited scope entails reimbursement to OPM in dollars or through exchange of services. Cooperative projects and reimbursable assistance provided by OPM must be consistent with the cooperative merit principles of Section 2 of the Intergovernmental Personnel Act of 1970.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, or their political subdivisions, agencies, or instrumentalities and Indian tribal governments.

**Beneficiary Eligibility:** Job applicants.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Varies depending on the nature and scope of the cooperative activities or reimbursable services involved.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-0100-0-1-805.

**Obligations:** Not applicable, reimbursable program. (Salaries and expenses) Data not yet available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Seven cooperative examining activities and 8 joint Job Information Centers are in operation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Cooperative recruitment and examining instructions.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the Office of Personnel Management regional office listed in Appendix IV of the Catalog. (Attention: Chief, Staffing Division.)

**Headquarters Office:** Contact Associate Director for Staffing Services, Office of Personnel Management, 1900 E St. N.W., Washington, DC 20415. Telephone: (202) 632-6005.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.009 TRAINING ASSISTANCE TO STATE AND LOCAL GOVERNMENTS

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** Intergovernmental Personnel Act of 1970, Title III, Public Law 91-648, Indian Self-Determination and Education Assistance Act, Public Law 93-638, Section 105, 25 U.S.C. 450; Intergovernmental Cooperation Act of 1968, Title III, Public Law 90-577, 42 U.S.C. 4222, 42 U.S.C. 4742; Office of Management and Budget Circular No. A-97, August 29, 1969; Executive Order 9830, February 24, 1947.

**OBJECTIVES:** To assist State and local governments and Indian tribal governments in training professional, administrative, and technical personnel to increase their capability for mission accomplishment.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** State and local employees and employees of Indian tribal governments may attend training courses conducted for Federal employees or solely for State and local employees or employees of Indian tribal governments in the following general subject areas: general management, management sciences, labor relations, ADP management, personnel management, supervisory development, communications, and office systems; technical assistance in administration of training, curriculum development, resource selection and evaluation are available; written materials on training can be provided. Participation in OPM training courses, and advisory services of more than a very limited scope entails reimbursement to OPM for the costs involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, their political subdivisions, agencies, or instrumentalities; Indian governmental bodies.

**Beneficiary Eligibility:** State and local employees and employees of Indian governing bodies.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for reimbursable assistance must be in the form of a written request to the Office of Personnel Management or a duly designated regional office.

**Award Procedure:** Review and approval may be made at regional offices.

**Deadlines:** Established for individual courses. (Contact OPM for dates.)

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-4571-0-4-805.

**Obligations:** (Revolving fund) FY 81 $2,097,500; FY 82 est $1,833,900; and FY 83 est $1,500,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 15,000 State and local government employees were trained by OPM and approximately 150,000 by other Federal agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Office of Management and Budget Circular No. A-97. Further information may be obtained from the offices referred to below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the Office of Personnel Management regional office (Attention: Regional Training Center) listed in Appendix IV of the Catalog.

**Headquarters Office:** Associate Director for Workforce Effectiveness and Development, Office Of Personnel Management, 1900 E Street, N.W., Washington, DC 20415. Telephone: (202) 632-6200, Contact: Frank de la Fe. Telephone: (202) 632-6090.

**RELATED PROGRAMS:** 27.008, Intergovernmental Cooperation in Recruiting and Examining; 27.011, Intergovernmental Mobility of Federal, State, and Local Employees; 84.046, Continuing Education Outreach—State Administered Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.011 INTERGOVERNMENTAL MOBILITY OF FEDERAL, STATE, AND LOCAL EMPLOYEES

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** Intergovernmental Personnel Act (IPA) of 1970, as amended Public Law 91-648, 5 U.S.C. 3371-3376, Indian Self-Determination and Education Assistance Act, Public Law 93-638, Section 105, 25 U.S.C. 450. Executive Order 11589, April 1, 1971.

**OBJECTIVES:** To facilitate Federal-State-local cooperation and to aid in solving problems and delivering improved services at all government levels through the sharing of professional, administrative, and technical expertise.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Permits the temporary assignment of personnel back and forth between Federal agencies, State and local governments, Indian tribes or tribal organizations, institutions of higher education and other eligible organizations. Assignments are for specific work beneficial to both the State, local government, Indian tribe, or other eligible organizations and the Federal agency concerned. An assignment agreement may not exceed two years. Cost sharing is negotiable. The employee, after receiving full information about the proposed assignment and his benefits under the various options, must also agree to the assignment before the agreement can be implemented. An employee of a Federal agency must serve in the Civil Service upon the completion of his or her assignment for a period equal to that of the assignment. Should the Federal employee fail to fulfill this requirement (except for good and sufficient reason as determined by the head of the Federal agency from which assigned), the federal employee shall be liable to the United States for all expenses (excluding salary) of the assignment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federal agencies, State, local and Indian tribal governments, and institutions of higher education are generally eligible. Other organizations, which includes (1) a national, regional, Statewide, areawide, or metropolitan organization representing member State or local governments; (2) an association of State or local public officials; or (3) a nonprofit organization which has as one of its principal functions the offering of professional advisory, research, educational, or development services, or related services to governments or universities concerned with public management, must have their eligibility certified by the Office of Personnel Management before they will be eligible to enter into an assignment agreement with a Federal agency.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Intergovernmental assignments will be undertaken on the basis of a joint agreement between a State or local government, Indian tribe or tribal organization or or institution of higher learning, or other eligible organization, the Federal agency and the employee. Each assignment will be implemented by a written agreement between the Federal agency, the State or local government, Indian tribe or tribal organization, educational institution, or other eligible organization and the employee to be assigned, to assure full understanding of the rights, responsibilities, conditions, and duration of the assignment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The nature and conditions of the assignment, including fiscal obligations and employee benefits, are subject to agreement between the participating organizations and the employee, within the provisions of the IPA.

**Application Procedure:** A proposal for assignment may be initiated either by the State or local government, institution of higher education, Indian tribe or other eligible organization which must then obtain the agreement of the Federal agency; alternatively the request may be originated by the Federal agency which must then obtain the agreement of the State or local jurisdiction, or Indian tribe, institution of higher education, or other eligible organization.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Assignments may be extended for up to an additional two years when the need and value of the extension can be agreed upon by the three parties involved.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Original assignments not to exceed 2 years, with extensions for an additional 2 years. Assignments cannot exceed 48 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Two copies of each new written assignment agreement, of optional form 69, are submitted by the Federal agency to the Office of Personnel Management (OPM), Workforce Effectiveness and Development Group. Notifications of assignments which are modified, extended or terminated on dates other than as specified in the original agreements are also submitted to OPM.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-0100-0-1-805.

**Obligations:** (Approximate Federal share of salary costs) FY 81 $29,000,000; FY 82 est $29,000,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** There were 1,154 mobility assignments in fiscal year 1981. Approximately 550 assignments are anticipated for fiscal year 1982. All States, Puerto Rico, the Virgin Islands, American Samoa, Guam, the Northern Mariana Islands, the District of Columbia, 452 local governments, 458 universities 38 Indian tribal governments and 83 other organizations have had mobility assignments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Personnel Manual Chapter 334; "Q & A About Temporary Intergovernmental Assignments" (IPP 152-15) - no charge; "Locating Federal Talent for Temporary Assignments Under the Intergovernmental Personnel Act of 1970" (OIPP 152-39)-price: $.60, Superintendent of Documents, Stock No. 0600-00772.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest Office of Personnel Management Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:** Chief, Faculty Fellows and Personnel Mobility Programs, Agency Services Division, Workforce Effectiveness and Development Group, Office of Personnel Management, Room 7H27, 1900 E Street, N.W., Washington, DC 20415. Telephone: (202) 632-4458. Contact: Ardrey Harris.

**RELATED PROGRAMS:** 27.008, Intergovernmental Cooperation in Recruiting and Examining; 27.009, Training Assistance to State and Local Governments.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 27.013 PRESIDENTIAL MANAGEMENT INTERN PROGRAM

**FEDERAL AGENCY:** OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:** Executive Order 12008, August 25, 1977.

**OBJECTIVES:** To bring graduate students receiving advanced degrees in management with a public sector focus into the Federal service, to allow State and local governments to hire these individuals, and to provide temporary State and local government work assignments for program participants.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Federal Employment.

**USES AND USE RESTRICTIONS:** State and local governments can utilize the Presidential Management Intern Program as a cooperative recruiting and examining effort. Interns employed by Federal agencies can be assigned to State and local governments for temporary assignments during their 2-year internships. State and local governments will have to compete with Federal agencies for interns.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments and organizations eligible to participate in the IPA mobility program are eligible to host Federal interns.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Written notice to the Office of Personnel Management (OPM) of intent to hire or host an intern.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Written notice to the Workforce Effectiveness and Development Group requesting referrals of either nominees or finalists. Letter to OIPP outlining duties and responsibilities and eligibility requirements of interns for temporary assignments.

**Award Procedure:** State and local governments wishing to hire a Presidential Management Intern will be competing with Federal agencies. Temporary work assignments must be negotiated between the participating government and the Federal agency.

**Deadlines:** Requests to hire nominees for the Presidential Management Intern Program must be received by early March. Requests received by February 15th will be included in PMIP Job Handbook.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Temporary assignments are not to exceed 4 months in length.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Mobility assignment agreement forms are required for all temporary intergovernmental assignments.

**FINANCIAL INFORMATION:**

**Account Identification:** 24-0100-0-1-805.

**Obligations:** (Salaries and expenses for OPM Administration) FY 81 $275,000; FY 82 $200,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Each year Presidential Management Intern nominations are submitted to OPM by mid December and selections are made in March. The first 1978 group of interns was nominated in early 1978 and selected in March, 1978. This group was eligible during 1980 for conversion to the career service after the two year internship. The 1979 interns are currently working for more than forty departments and agencies; the 1980 group was announced in March, 1980. The program is conducted each year with the selection of up to 250 interns. Thus, there may be up to 500 participants in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Personnel Manual Chapter 362. Guidelines for Graduate Schools of Public Management and Program Brochure. The Presidential Management Intern Program, A Guide for State and Local Governments.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Workforce Effectiveness and Development Group in OPM Regional Offices (see Appendix IV of the Catalog).

**Headquarters Office:** Chief, Presidential Management Intern Program Division, Workforce Effectiveness and Development Group, Office of Personnel Management, P.O. Box 14184, Washington, DC 20044. Telephone: (202) 254-7316. Contact: Andrew W. Boesel.

**RELATED PROGRAMS:** 27.008, Intergovernmental Cooperation in Recruiting and Examining; 27.011, Intergovernmental Mobility of Federal, State, and Local Employees.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# COMMISSION ON CIVIL RIGHTS

## 29.001 CLEARINGHOUSE SERVICES, CIVIL RIGHTS DISCRIMINATION COMPLAINTS

**FEDERAL AGENCY:** COMMISSION ON CIVIL RIGHTS

**AUTHORIZATION:** Civil Rights Act of 1957 as amended, Public Law 85-315, 42 U.S.C. 1975 et seq.

**OBJECTIVES:** To serve as a national clearinghouse for information to the public in respect to discrimination or denials of equal protection because of race, color, religion, sex, age, handicapped or national origin; to hold public hearings and collect and study information on discrimination or denials of equal protection; to receive and refer complaints alleging denial of civil rights because of the aforementioned factors; to receive, investigate, and refer complaints alleging denial of voting rights.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Commission on Civil Rights (CCR) receives complaints alleging denial of equal protection of the laws in the areas of voting, employment, housing, education, and the administration of justice. The CCR uses publications, films, liaison with private and public groups, the media, and a variety of other techniques to provide civil rights information to those who have rights, those who have responsibilities to comply with Federal civil rights laws and policies, and those who implement these laws and policies, and the general public.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone can seek information; no criteria must be satisfied.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Complaint should contain a clear statement of the facts on which it is based.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Direct request to the Commission.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 95-1900-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $11,947,000; FY 82 est $12,318,000; and FY 83 est $11,626,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Commission received 2,690 complaints and completed 55 publications in addition to the quarterly issues of Perspective (formerly the Civil Rights Digest) in fiscal year 1981. Estimates for fiscal year 1982 are 2,700 complaints and 43 publications; estimates for fiscal year 1983 are 2,700 complaints and 18 publications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Statute, Rules and Regulations of the Commission on Civil Rights, no charge; Catalog of Publications of Commission on Civil Rights, no charge. All publications of the Commission are available from the Publications Management Division, Commission on Civil Rights, Washington, DC 20425.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Southern Regional Office: Bobby Doctor, Citizens Trust Bank Building 75 Piedmont Ave., N.E., Room 362, Atlanta, GA 30303. Telephone: (404) 221-4391, FTS 242-4391. Midwestern Regional Office: Clark Roberts, 230 South Dearborn St., Room 3280, Chicago, IL 60604. Telephone: (312) 353-7371 FTS 353-7371. Western Regional Office: Philip Montez, 3660 Wilshire Boulevard, Suite 810, Los Angeles, CA 90010. Telephone: (213) 688-3437, FTS 798-3437. Eastern Regional Office: Ruth Cubero, 26 Federal Plaza, Room 1639, New York, NY 10278. Telephone: (212) 264-0400, FTS 264-0400, Southwestern Regional Office: J. Richard Avena, Heritage Plaza 418 South Main, 1st Floor, San Antonio, TX 78204. Telephone: (512) 229-5570, FTS 730-5570. Mid-Atlantic Regional Office: Edward Rutledge, 2120 L St., N.W., Room 510, Washington, DC 20037. Telephone: (202) 254-6670, FTS 254-6717. Central States Regional Office: Melvin Jenkins, 911 Walnut St., Room 3100, Kansas City, MO 64106. Telephone: (816) 374-5253, FTS 758-5253. Rocky Mountain Regional Office: Shirley Hill Witt, Brooks Towers, Suite 2235 1020 Fifteenth St., Denver, CO 80202. Telephone (303) 837-2211; FTS 327-2211. Northwestern Regional Office: Joseph T. Brooks, 915 Second Avenue, Room 2854, Seattle, WA 98174. Telephone: (206) 442-1246, FTS 399-1246. New England Regional Office: Jacob Schlitt, 55 Summer Street, 8th Floor, Boston, MA 02110. Telephone: (617) 223-4671; FTS 223-4671.

**Headquarters Office:** Commission on Civil Rights, 1121 Vermont Ave., N.W., Washington, DC 20425. Telephone: (202) 254-6506. Contact: Ron Pizza. TTY phone, (202) 376-2683 (for deaf/hearing impaired persons).

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 14.400, Equal Opportunity in Housing; 16.100, Desegregation of Public Education; 16.101, Equal Employment Opportunity; 16.103, Fair Housing and Equal Credit Opportunity; 16.104, Protection of Voting Rights; 16.105, Civil Rights of Institutionalized Persons; 16.200, Community Relations Service; 17.301, Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Minimum Wage and Hour Standards; 17.700, Women's Special Employment Assistance; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices; 30.002, Employment Discrimination—State and Local Anti-Discrimination Agency Contracts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

## 30.001 EMPLOYMENT DISCRIMINATION—SETTLEMENT, INVESTIGATION, CONCILIATION AND LITIGATION OF UNLAWFUL EMPLOYMENT PRACTICES

**FEDERAL AGENCY:** EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:** Civil Rights Act of 1964, Title VII, as amended by Public Laws 88-352 and 92-261, 42 U.S.C. 2000e-5.

**OBJECTIVES:** To provide for enforcement of the Federal prohibition against employment discrimination in the private and public sector based on race, color, religion, sex or national origin.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Complaints of discriminatory employment practices by or on behalf of an individual claiming to be aggrieved are received. Settlement attempts and investigations ensue; and if "reasonable cause" is found, conciliated. If conciliation proves to be unsuccessful, the Commission may bring civil action against respondents named in the charge. Special program developed for alleged systemic practices.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any aggrieved individual or individuals, labor union, association, legal representative, or unincorporated organization, filing on behalf of an aggrieved individual, who have reason to believe that an unlawful employment practice within the meaning of Title VII, as amended, has been committed by an employer, employment agency, labor organization or joint labor-management committee with more than 15 employees.

**Beneficiary Eligibility:** Potential employees, employees and former employees of the named respondents in a charge who have been subject to unlawful employment practices.

**Credentials/Documentation:** An allegation of unlawful employment practice(s) must be in writing, signed, and notarized or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Forms 5A and 5B Charge of Discrimination) are available to all persons from all offices of the Commission.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A charge may be filed by any aggrieved individual or by any organization, i.e., labor union, association, legal representative, unincorporated organization, etc., either as an aggrieved entity or on behalf of an aggrieved individual.

**Award Procedure:** A charge is deemed filed when the Commission receives from the person making the charge a written statement sufficiently precise to identify the parties and to describe specifically the action or practices complained of.

**Deadlines:** A charge of unlawful employment practices must be filed within 180 days after the alleged unlawful employment practice has occurred. In cases where the practice is of a continuing nature, the last day of the violation and not its inception determines the running of the 180 days. In certain circumstances where proceedings have been instituted with a State or local Fair Employment Practices Commission (FEPC) with authority to grant or seek relief from an alleged unlawful employment practice, this time limit is changed to 300 days or within 30 days after the charging party received notice that the State or local FEPC has terminated its proceeding, whichever is earlier.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 45-0100-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $86,519,000; FY 82 est $87,334,000; and FY 83 est $91,217,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, received 45,600 charges and resolved 64,000 which benefited 67,200 persons in the sum $60,600,000; authorized 440 suits (including age and equal pay) settlements with a benefit sum of $16,200,000, and filed in courts of appeal 143 amicus curiae appellate briefs, and initiated 1,389 systemic investigation charges. In fiscal year 1982, expects to receive 48,900 charges and to resolve 54,100 which will benefit 31,600 persons in the sum of $56,500,000, aurhorize 410 suits (including age and equal pay) and to reach 214 consent decrees and settlements with a benefit sum of $15,500,000 and expects to file in courts of appeals 134 amicus curide appellate briefs, and initiate 1,400 systemic investigation charges. In fiscal year 1983, expects to receive 52,500 charges and to resolve 52,100, which will benefit 32,700 persons in the sum of $58,100,000, expects to authorize 380 suits (including age and equal pay) and to reach 200 consent decrees and settlements with a benefit sum of $15,000,000 and expects to initiate 1,400 systemic investigation charges.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title VII of the 1964 Civil Rights Act, as amended by the EEO Act of 1972; Procedural Regulations, 29 CFR 1601, Publications are furnished free in Limited Quantities. Contact Office of Public Affairs, EEOC, 2401 E St. N.W., Washington, D.C. 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Any EEOC field office listed in Appendix IV of the Catalog.

**Headquarters Office:** Contact Martin Slate, Director, Office of Field Services Equal Employment Opportunity Commission, 2401 E Street N.W., Washington, DC 20506. Telephone: (202) 634-6850; Contact Constance Dupre, Associate General Counsel, Legal Counsel Division, Office of General Counsel, Telephone: (202) 634-6595; Debra Millenson, Acting Director, Office of Systemic Programs. Telephone (202) 634-6460.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 16.101, Equal Employment Opportunity; 16.200, Community Relations Service; 17.301, Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Minimum Wage and Hour Standards; 17.700, Women's Special Employment Assistance; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.002, Employment Discrimination—State and Local Anti-Discrimination Agency Contracts; 30.008, Employment Discrimination—Age Discrimination in Employment; 30.010, Employment Discrimination—Equal Pay Act.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 30.002 EMPLOYMENT DISCRIMINATION—STATE AND LOCAL ANTI-DISCRIMINATION AGENCY CONTRACTS

**FEDERAL AGENCY:** EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:** Civil Rights Act of 1964, Title VII, as amended by Public Laws 88-352 and 92-261, 42 U.S.C. 2000e. Age Discrimination in Employment Act of 1967, Public Law 90-202, as amended by Public Law 93-259 (Effective May 1, 1974), 88 Stat. 55, and Public Law 95-256, 92 Stat. 189, President's Reorganization Plan No. 1 of 1978, 29 U.S.C. 621 et. seq.

**OBJECTIVES:** To assist EEOC in the enforcement of Title VII of the Civil Rights Act of 1964, as amended, and of the Age Discrmination in Employment Act or 1967 by attempting settlement and investigating and resolving charges of employment discrimination based on race, color, religion, sex, national origin, or age.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Contracts are made with official State and local anti-discrimination agencies for the resolution of individual charges of employment discrimination, and for the identification, investigation, conciliation and elimination of unlawful employment practices.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Official State and local government agencies charged with the administration and enforcement of fair employment practices laws.

**Beneficiary Eligibility:** Employees, potential employees and former employees covered by Title VII of the Civil Rights Act of 1964 as amended, and/or the Age Discrimination in Employment Act of 1967.

**Credentials/Documentation:** Funding must be determined by negotiation with the applicant and approval by the Commission.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** EEOC District Director will provide guidance.

**Application Procedure:** Application must be made to the EEOC District Office which will review it and make a recommendation to the Office of Field Services, EEOC Headquarters.

**Award Procedure:** By negotiation. Recommendation made to Commissioners. Decision made by final vote of the Commissioners. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** August 8.

**Range of Approval/Disapproval Time:** 1 to 3 months.

**Appeals:** Not applicable.

**Renewals:** By negotiation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** 1 year. Paid by quarterly voucher for services rendered.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic program reports as required by contract.

**Audits:** Under the total concept, audits will be made on an organization-wide basis under GAO Guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions.

**Records:** As required by the contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 45-0100-0-1-751.

**Obligations:** (Contracts) FY 81 $18,000,000; FY 82 est $18,500,000; and FY 83 est $18,000,000.

**Range and Average of Financial Assistance:** $35,400 to $1,977,200; $205,747.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, received applications from 70 State and local government agencies, and approved 69 for funding. These agencies submitted 39,970 final actions for review and acceptably resolved 39,331. For fiscal year 1982, received applications from 68 agencies, and approved 68 for funding. It is anticipated that these agencies will submit 40,300 final actions for review and acceptably resolve 38,300, In fiscal year 1983, expects to receive applications from 72 agencies and to approve 70 for funding. It is anticipated that these agencies will submit 35,600 final actions for review and acceptably resolve 35,000. discrimination charges.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Request for Application and Proposals for EEOC Funding of Programs Under Title VII, Section 709(b), Public Law 88-352.

**INFORMATION CONTACTS:**

**Regional or Local Office:** EEOC District office listed in Appendix IV of the Catalog.

**Headquarters Office:** Contact Boyce Nolan, State and Local Division, Office of Field Services, Equal Employment Opportunity Commission, Room 4233, 2401 E Street, N.W., Washington, DC 20506. Telephone: (202) 634-6040.

**RELATED PROGRAMS:** 13.675, Civil Rights Compliance Activities; 16.101, Equal Employment Opportunity; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices; 30.009, Employment Discrimination Project Contracts—Indian Tribes.

**EXAMPLES OF FUNDED PROJECTS:** Fiscal years 1980 and 1981 charge resolution contracts were funded entirely for the resolution of individual charges of employment discrimination.

**CRITERIA FOR SELECTING PROPOSALS:** Fiscal year 1980 and 1981 charge resolution funding recommendations were submitted jointly by agencies and by their EEOC District offices, with the concurrence of the State and local agencies, based upon the projected number of accepted charge resolutions to be produced by an agency for the contract period.

## 30.005 EMPLOYMENT DISCRIMINATION— PRIVATE BAR PROGRAM

**FEDERAL AGENCY:** EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:** Civil Right Act of 1964, Title VII, as amended by Public Laws 88-352 and 92-261, 42 U.S.C. 2000e 4(g)(3).

**OBJECTIVES:** (a) To assist aggrieved individuals who have obtained notices of right to sue in contacting members of the private bar, (b) to provide technical and other assistance to aggrieved parties and their attorneys in Title VII, Equal Pay and Age Discrimination in Employment Act Cases; (c) to establish and revitalize the attorneys referral mechanism; and (d) to coordinate the strategies of the private bar with those of the commission.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Upon request, provide assistance to individuals in locating lawyers who are prepared to undertake litigable Title VII, Equal Pay and Age Discrimination in Employment Act issues.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual who has received a notice of right to sue from the Commission.

**Beneficiary Eligibility:** Any individual who has received a notice of right to sue from the Commission.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Request for assistance may be made in writing or in person at nearest EEOC District Office. Or by calling the toll free number 800-368-5715.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 45-0100-0-1-751.

**Obligations:** (Salaries and Expenses) FY 81 $125,000; FY 82 est $125,000; and FY 83 est $125,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Provided information regarding private bar litigation resources to about 3,800 individuals, and 5,017 Title VII filings were recorded in U.S. Courts in fiscal year 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** EEOC Compliance Manual, Section 81 - Private Bar Referral Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:** EEOC District Offices (See Appendix IV of the Catalog for addresses).

**Headquarters Office:** Contact Johnnie L. Johnson, Jr., Assistant General Counsel (Acting), Attorney, Support Programs Branch, Office of General Counsel, 2401 E St., N.W., Washington, DC 20506. Telephone: (202) 653-5705.

**RELATED PROGRAMS:** 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices; 30.002, Employment Discrimination—State and Local Anti-Discrimination Agency Contracts.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 30.008 EMPLOYMENT DISCRIMINATION—AGE DISCRIMINATION IN EMPLOYMENT

**FEDERAL AGENCY:** EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:** Age Discrimination in Employment Act of 1967, Public Law 90-202, as amended by Public Law 93-259 (effective May 1, 1974) 88 Stat. 55 and Public Law 95-256, 92 Stat. 189 (enacted April 6, 1978) President's Reorganization Plan No. 1 of 1978, 29 U.S.C. 621 et. seq.

**OBJECTIVES:** To prohibit arbitrary age discrimination in hiring and other employment practices, promote the employment of older workers based on ability rather than age, and help employers and employees find ways to meet problems arising from the impact of age on employment.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Individuals 40 to 70 years old are protected from age discrimination by private employers engaged in an industry affecting commerce who have 20 or more employees, by Federal state and local governments, by employment agencies serving such employers, and by labor organizations with 25 or more members in an industry affecting commerce. It is unlawful for employers, employment agencies, or labor organizations to use advertisements indicating any preference, limitation, specification, or discrimination based on age. Exceptions are provided where age is a bona fide occupational qualification, the differentiation is based on reasonable factors other than age or if an otherwise prohibited practice is in observance of the terms of a bona fide seniority system or employee benefit plan (except that no such employee benefit plan shall excuse the failure to hire, or require or permit the involuntary retirement of any individual). Exemptions are provided for the mandatory retirement of bona fide executive and high policy making employees 65 years of age and older who are entitled to at least $27,000 a year from a retirement plan and the mandatory retirement of tenured employees at institutions of higher education who are 65 years of age or older (the latter exemption is repealed, effective July 1, 1982). The EEOC may establish such reasonable exemptions as it may find necessary and proper in the public interest. There is no upper age limit for Federal employment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals within the protected age bracket who believe that they have been discriminated against because of age or who believe that such discrimination is occurring against others in the protected age bracket; in the United States, District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Wake Island, Canal Zone and Outer Continental Shelf Lands defined in the Outer Continental Shelf Lands Act.

**Beneficiary Eligibility:** Individuals between the ages of 40 and 70. In Federal employment, persons over 40 years old.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for assistance may be made either orally or in writing to the appropriate local office of the EEOC. (The names of persons making inquiries are held in confidence.)

**Award Procedure:** Not applicable.

**Deadlines:** A 2-year statute of limitations applies to the recovery of any amounts owing to a person as a result of a violation of this Act (3 years in cases of willful violations). Individuals desiring to bring their own suit under the Act must file a charge alleging discrimination with the EEOC within 180 days of the alleged unlawful practice (300 days in a State with its own discrimination law).

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 45-0100-0-1-751.

**Obligations:** (Salaries and expenses) FY 81 $6,969,000; FY 82 est $7,113,000; and FY 83 est $7,626,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, received 8,400 charges and resolved 8,100, which benefited 2900 persons in the sum of $28,000,000. In fiscal year 1982, except to receive 8,200 charges and to resolve 8,100, which will benefit 2100 persons in the sum of $14,000,000. In fiscal year 1983, expect to receive 9,000 charges and to resolve 8,400, which will benefit 22 persons in the sum of $14,900,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publications furnished free in limited quantities: Pamphlet: The Age Discrimination in Employment Act; 29 CFR 1627; and ADEA Posters.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons should contact the nearest district or area office of EEOC listed in Appendix IV of the Catalog. If no listing is shown for your locality, please contact the nearest area office of the Wage and Hour Division listed in Appendix IV under the Employment Standards Administration.

**Headquarters Office:** Office of Field Services, Equal Employment Opportunity Commission, 2401 E St., N.W., Washington, DC 20506. Contact: Richard McMullen. Telephone: (202) 653-7435.

**RELATED PROGRAMS:** 16.101, Equal Employment Opportunity; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation, and Litigation of Unlawful Employment Practices.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 30.009 EMPLOYMENT DISCRIMINATION PROJECT CONTRACTS—INDIAN TRIBES

**FEDERAL AGENCY:** EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:** Civil Right Act of 1964, Title VII, as amended by Public Laws 88-352 and 92-261, 42 U.S.C 2000e 4 (g) (3).

**OBJECTIVES:** To insure the protection of employment rights of Indians working on reservations.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Contractors selected must have an enforceable ordinance, signed by the tribal council, establishing a Tribal Employment Rights Office (TERO).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any land based Native American Tribe that has a tribal employment rights office established under an ordinance passed by the tribal council.

**Beneficiary Eligibility:** Native Americans employed or seeking employment on or near reservations with TEROs having contracts.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Written bids are made in response to a Request for Proposal and are evaluated by the Commission.

**Award Procedure:** After appropriate bidding process, contractor is selected.

**Deadlines:** June 30.

**Range of Approval/Disapproval Time:** Approximately six weeks.

**Appeals:** Not applicable.

**Renewals:** Dependent upon performance under previous contract.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** One fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and final reports are addressed to the State and Local Division, Office of Field Services through the EEOC District Office which administers the contract. Charges, interviews and settlement agreements must be submitted to the district office.

**Audits:** Audits are conducted by the EEOC Internal Audit staff.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 45-0100-0-1-751.

**Obligations:** (Contracts) FY 81 $525,000; FY 82 est $300,000; and FY 83 est $300,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, twenty contracts were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Any EEOC District Office listed in Appendix IV of the catalog which has jurisdiction over inquirer's geographic location.

**Headquarters Office:** John E. Rayburn, State and Local Division, Office of Field Services, Equal Employment Opportunity Commission, 2401 E Street, N.W., Washington, DC 20506. Telephone: (202)634-6040.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Tribal Employment Rights Offices were funded to facilitate the employment rights of Indians working on or seeking work or near reservations.

**CRITERIA FOR SELECTING PROPOSALS:** A signed ordinance passed by tribal council establishing a Tribal Employment Rights Office.

## 30.010 EMPLOYMENT DISCRIMINATION—EQUAL PAY ACT

**FEDERAL AGENCY:** EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:** Equal Pay Act of 1963, Public Law 88-38, as amended by the Education Amendments of 1972, and the Fair Labor Standard Act Amendments of 1974 and 1977. President's Reorganization Plan No. 1 of 1978, 29, U.S.C. 206.

**OBJECTIVES:** To prohibit sex discrimination in the payment of wages to men and women performing equal work in the same establishment.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Employers engaged in commerce or in the production of goods for commerce (i.e. subject to The Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 201, et seq), including State, Local and Federal Governments, are prohibited from paying sex based wage differentials to men and women performing equal work in the same establishment. Labor organizations representing employees of a covered employer are prohibited from causing or attempting to cause employers to violate the Act. Exceptions are provided where payment is made pursuant to a seniority system, a merit system, a system which measures earnings by quantity or quality of production, or a differential based on any other factor other than sex.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals who believe they have been paid in violation of the Equal Pay Act or who believe that other persons are being paid in violation of the Act in any State of the United States, The District of Columbia or any Territory or possession of the United States.

**Beneficiary Eligibility:** Individuals covered by the Fair Labor Standards Act of 1938, as amended.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for assistance may be made either orally or in writing to the appropriate Local Office of the EEOC listed in Appendix IV of the Catalog. (The names of persons making inquiries are held in confidence.)

**Award Procedure:** Not applicable.

**Deadlines:** A 2-year statute of limitations applies to the recovery of any amounts owing to a person as a result of a violation of this Act (3 years in cases of willful violations). There is no agency notification requirement for individuals desiring to bring their own suit under the Act.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 45-0100-0-1-751.

**Obligations:** (Salaries and Expenses) FY 81 $4,455,000; FY 82 est $4,537,000; and FY 83 est $4,537,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, received 1,600 complaints and resolved 2,200, which benefited 1650 persons in the sum of $3,100,000. In fiscal year 1982, expect to receive 1,600 complaints and to resolve 2,200, which will benefit 1,650 persons in the sum of $31,000,000. In FY 1983, expect to receive 1,600 complaints and to resolve 2,100, which will benefit 1,600 persons in the sum of $3,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publications furnished free in limited quantities. Pamphlet: Equal Work Equal Pay; and 29, CFR. 1620 Equal Pay Act Final Recordkeeping and Administrative Regulations (Federal Register January 19, 1981) and 29 CFR 1620, proposed Equal Pay Act Interpretations (Federal Register September 1, 1981).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons should contact the nearest District or Area Office of EEOC listed in Appendix IV of the Catalog. If no listing is shown for your locality, please contact the nearest Area Office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

**Headquarters Office:** Office of Field Services, Equal Employment Opportunity Commission, 2401 E Street, N.W., Washington, DC 20506. Contact: Richard McMullen. Telephone: (202) 653-7435.

**RELATED PROGRAMS:** 16.101, Equal Employment Opportunity; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation, and Litigation of Unlawful Employment Practices.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 32.001 COMMUNICATIONS INFORMATION AND INVESTIGATION OF COMPLAINTS

**FEDERAL AGENCY:** FEDERAL COMMUNICATIONS COMMISSION

**AUTHORIZATION:** Communications Act of 1934 as amended; 47 U.S.C. 1, 2, 303, 307-310, 312.

**OBJECTIVES:** To increase public knowledge of communications functions, problems, and services. To help maintain efficient and responsible systems of public communication through investigation of complaints.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Field offices handle complaints from the public concerning radio services and interference to radio services. Matters such as the quality and rates of telephone and telegraph services should be directed to the Common Carrier Bureau, FCC, Washington, DC 20554. Matters such as equal time for political candidates and fairness in presentation of issues should be directed to Complaints and Compliance Division, Broadcast Bureau, FCC, Washington, DC 20554. The Commission provides information and education services through its Office of Public Affairs, which includes the Consumer Assistance and Information Division, the Press and News Media Division, and the Small Business Division. Enterprise Division.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may seek information from, or file a complaint with, the Federal Communications Commission.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the appropriate field office listed under Information Contacts below. Upon application, the FCC will furnish specific information regarding its licensing and regulatory policies.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 27-0100-0-1-403.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1979, approximately 109,000 broadcasting complaints, comments and inquiries were received. Approximately 700 major investigations of interference complaints were conducted. It is estimated that approximately the same numbers of complaints, comments and inquiries will be received and investigated for fiscal years 1980 and 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "What You Should Know About the FCC;" "Broadcast Services;" "Common Carrier Services;" "Private Radio Services," FCC Annual Report. For listing of other information bulletins and literature, contact the Chief, Consumer Assistance and Information Division.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Directors: Atlanta, GA: 101 Marietta Tower, Room 2111, 30301; Boston, MA: 1500 Customhouse, 165 State St., 02109; Chicago, IL: 1550 Northwest Highway, Room 306 (Park Ridge, IL 60068); Kansas City, MO: Brywood Office Tower, Room 320, 8800 East 63rd St., 64133; San Francisco, CA: 211 Main St., Room 537, 94105; Seattle, WA: 3090 Federal Building, 915 Second Avenue, 98174. District Offices: Anchorage, AK: 1011 E. Tudor Rd., Room 240, P.O. Box 2955, 99510; Atlanta, GA: Room 440, 1365 Peachtree St. NW, 30309; Baltimore, MD: Room 1017, Federal Bldg., 31 Hopkins Plaza, 21201; Beaumont, TX: 323 Jack Brooks Federal Bldg., 300 Willow St., 77701; Boston, MA: 1600 Customhouse, 02109; Buffalo, NY: 1307 Federal Bldg., 111 West Huron St., 14202; Chicago, IL: 230 South Dearborn St., Room 3935, 60604; Cincinnati, OH: 8620 Winton Rd., 45231; Dallas, TX: Room 13E7, U.S. Courthouse, 1100 Commerce St., 75242; Denver, CO: 1405 Curtis St., 80202; Detroit, MI: 1054 Federal Building, 231 W. Lafayette St., 48226; Honolulu, HI: Room 7304, Prince Kuhio Federal Bldg., 300 Ala Moana Blvd., P.O. Box 50023, 96850; Houston, TX: Room 5636, New Federal Office Bldg., 515 Rusk Ave., 77002; Kansas City, MO: Brywood Office Tower, Room 320, 8800 East 63rd St., 64133; Long Beach, CA: 3711 Long Beach Blvd, Room 501, 90807; Miami, FL: Room 919, 51 Southwest 1st Ave., 33130; New Orleans, LA: 600 South St., 70130; New York, NY: 201 Varick St., 10014; Norfolk, VA: Military Circle, 870 N. Military Highway, 23502; Philadelphia, PA: 11425 James A. Byrne Federal Courthouse, 601 Market St., 19106; Pittsburgh, PA: 3755 William Penn Highway (Monroeville PA 15146); Portland, OR: 1782 Federal Office Bldg., 1220 S.W. 3rd Ave., 97204; St. Paul, MN: Federal Building and U.S. Courthouse, 55101; San Diego, CA: 7840 El Cajon Blvd., Suite 405, (LA Mesa, CA. 92041); San Francisco, CA: 323-A Customhouse 555 Battery St., 94111; Hato Rey, PR: (San Juan Field Office): 747 Federal Building, 00918; Savannah, GA: Room 238, Post Office Bldg. and Courthouse, P.O. Box 8004, 31412:; Seattle, WA: 3256 Federal Bldg., 915 Second Ave., 98174; Tampa, FL: Room 601, 1211 N. Westshore Blvd., 33607; Washington, DC: 6925 Belcrest Road, Room 901-B, P.O. Box 1789, (Hyattsville, MD 20788).

**Headquarters Office:** Consumer Assistance and Information Division, Federal Communications Commission, Room 258, 1919 M Street N.W., Washington, DC 20554. Telephone: (202) 632-7000 or 632-7260. Contact: Press and New Media Division, Room 202, 1919 M Street, N.W., Washington, DC 20554. Telephone: (202) 634-7674. See FCC entry in Appendix IV of the Catalog for names and phone numbers of engineers-in-charge of individual field offices.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# FEDERAL MARITIME COMMISSION

## 33.001 SHIPPING—INVESTIGATION OF COMPLAINTS

**FEDERAL AGENCY:** FEDERAL MARITIME COMMISSION

**AUTHORIZATION:** Shipping Act, 1916, as amended; 46 U.S.C. 821.

**OBJECTIVES:** To provide a forum for settling disputes between carriers and shippers on an informal basis, if possible, or by institution of formal proceedings if warranted.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The Commission evaluates allegations regarding excessive rates or discriminatory practices to insure that both shipper and carrier receive fair and impartial treatment under law.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person may file a complaint setting forth any violation of the Shipping Act, 1916, by a common carrier by water, or other person subject to the Act.

**Beneficiary Eligibility:** Anyone/General public.

**Credentials/Documentation:** A formal complaint alleging specific violations of the Act should be supported by facts sustaining such allegations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An informal complaint may be filed with the Commission in the form of a letter addressed to the Director, Office of Consumer Affairs, Federal Maritime Commission, 1100 L Street NW, Washington, DC 20573. A formal complaint may be filed with the Commission in accordance with Section 22 of the Shipping Act, 1916.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 65-0100-0-1-403.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Commission responded to 500 informal complaints from consumers. The Commission expects to receive and respond to approximately 525 informal complaints by the end of fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Atlantic District: Robert A. St. John, Director, 6 World Trade Center, Suite 614, New York, NY 10048, Telephone: (212) 264-1430; Gulf District: George B. Harry, Director, 600 South Street, Room 1035, New Orleans, LA 70190, Telephone: (504) 589-6662; Pacific District: Leonard J. Nordgren, Director, 525 Market Street, 25th Floor, San Francisco, CA 94105, Telephone: (415) 556-5272; Puerto Rico District: Rambel A. Cuprill, Director, U.S. District Courthouse, Federal Office Building, Room 762, Carlos Cardon Street, Hato Rey, PR 00917, Telephone: (809) 753-4198; Great Lakes District: Director, 610 S. Canal Street, Customs Bldg., Chicago, IL 60607, Telephone: (312) 353-0282; Mid-Atlantic District: James F. Carey, Director, 1100 L St. N.W., Washington, DC 20573, Telephone: (202) 523-5860.

**Headquarters Office:** Geoffrey Rogers, Director, Office of Consumer Affairs, Federal Maritime Commission, 1100 L Street NW, Washington, DC 20573. Telephone: (202) 523-5807.

**RELATED PROGRAMS:** 20.800, Construction—Differential Subsidies; 20.802, Federal Ship Financing Guarantees; 20.803, Maritime War Risk Insurance; 20.804; Operating—Differential Subsidies; 20.805, Ship Sales; 20.303, Grants-in-Aid for Railroad Safety—State Participation; 26.002, Air Transportation—Consumer Affairs; 41.002, Interstate Commerce—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# FEDERAL MEDIATION AND CONCILIATION SERVICE

## 34.001 LABOR MEDIATION AND CONCILIATION

**FEDERAL AGENCY:** FEDERAL MEDIATION AND CONCILIATION SERVICE

**AUTHORIZATION:** Labor Management Relations Act, 1947, Title II, Public Law 80-101, 29 U.S.C. 172.

**OBJECTIVES:** To prevent or minimize work stoppages caused by disputes between labor and labor and management in industries affecting interstate commerce.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Provide professional advice, guidance and counseling and promote and encourage harmonious relationships between parties involved in labor-management collective bargaining disputes. Actual services include: (a) providing mediation assistance to employers and labor organizations having collective bargaining disputes; (b) providing assistance to companies and unions in the prevention of disputes by seeking to improve their day-to-day relationships and creating a better degree of understanding and cooperation; (c) providing assistance to companies and labor organizations in the selection of impartial arbitrators to hear and decide disputes over collective bargaining agreements. The Service is involved in special notice and mediation procedures designed to minimize work stoppages in contract disputes at all private health care institutions throughout the Nation. Except as a last resort the Federal Mediation and Conciliation Service, (FMCS) refrains from participation in intrastate matters or in controversies pertaining to interpretation or application of existing contracts. FMCS has no jurisdiction in railroad and airlines industries. The Service assists in dispute resolution involving employees of State and local governments where mediation services are unavailable and where one or both sides request FMCS assistance. The FMCS also provides mediators and conciliators to hear complaints by individuals alleging age discrimination in federally funded programs; these mediators and conciliators have 60 days to try to get a satisfactory resolution of the complaint before the case is returned to the agency responsible for the funded program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Domestic employers involved in interstate commerce and related labor organizations. The Federal Mediation and Conciliation Service may provide its professional services to settle labor disputes either upon notice required by law or at the request of the involved parties. FMCS may also or or proffer its services on its own motion if there is significant impact upon interstate commerce.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Employers and labor organizations recognized by NLRB as legitimate representatives of employee groups.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Thirty day advance notice prior to expiration of existing contract or reopening thereof.

**Application Procedure:** Notice (FMCS Form F-7) to the regional office listed in Appendix IV. Written request for assistance.

**Award Procedure:** Not applicable.

**Deadlines:** 30 days before expiration date of contract, or date of intended reopening.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 93-0100-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $25,686,877; FY 82 est $24,552,000; and FY 83 est $20,678,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 28,852 dispute case assignments were in process; in fiscal year 1982, an estimated 33,000 dispute case assignments were in process; in fiscal year 1983, the estimate is 32,000 dispute case assignments. In fiscal year 1981, 924 technical assistance cases were closed; in fiscal year 1982, the estimate of such cases is 400; and in fiscal year 1983, the estimate is 400 such cases. In fiscal year 1981, 33,194 arbitration panels were submitted to disputing parties; in fiscal year 1982, the estimate is 35,000 arbitration panels submitted; and in fiscal year 1983, the arbitration panel estimate is 36,500.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 29 CFR 1400. "Annual Report," Government Printing Office, Washington, DC 20402, $3.50. "Securing Labor-Management Peace Through Mediation"; "FMCS, Its Role in the Health Care Industry"; "Arbitration"; "Mediation and Labor Management Relations in the Federal Service"; "Mediation in Public Sector Labor Management Disputes", "Mediation in Age Discrimination Disputes"; and "Labor-Management Committees: Planning for Progress".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Interested persons may contact the appropriate regional office for FMCS listed in Appendix IV of the Catalog.

**Headquarters Office:** Federal Mediation and Conciliation Service, Washington, DC 20427. Telephone: (202) 653-5290. Contact: Dorothy Jane Yount.

**RELATED PROGRAMS:** 17.100, Labor-Management Relations Services; 46.001, Labor-Management Relations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 34.002 LABOR—MANAGEMENT COOPERATION

**FEDERAL AGENCY:** FEDERAL MEDIATION AND CONCILIATION SERVICE

**AUTHORIZATION:** Labor-Management Cooperation Act of 1978, Public Law 95-524, Title VII, Section 6, 29 U.S.C. 125a.

**OBJECTIVES:** To support the establishment or expansion of joint labor-management committee at the plant, area, and industrywide levels in order to improve labor-management relations, job security, economic development, and productivity.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are to be used only to create new or to expand existing joint labor-management committees at the plant, area, and industrywide levels.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local units of government; private nonprofit labor-management committees; a labor organization/private company or public agency applying jointly to create a committee; private nonprofit entity with labor relations experience.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No A-87 for State and local governments and A-122 for nonprofit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal Agency and required by OMB Circular No. A-102 must be used for this program. No preapplication action is required, although FMCS Headquarters staff are available to answer questions from applicants. Applications are not subject to State and areawide clearinghouse review.

**Application Procedure:** Applications are submitted directly to FMCS headquarters on Standard Form 424. This program is subject to the provisions of OMB Circular Nos. A-102 for State and local governments and A-110 for nonprofit organizations.

**Award Procedure:** Upon approval by FMCS, grantees will be informed in writing of their award. Notification of awards must be made to designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Not yet determined. Contact FMCS headquarters staff for final dates.

**Range of Approval/Disapproval Time:** Normally 90 days after the application deadline.

**Appeals:** Administrative review by the Director, FMCS, and hearings held by FMCS.

**Renewals:** Renewals available for appropriate grantees through supplemental grants subject to availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Ten percent cash match is required.

**Length and Time Phasing of Assistance:** Generally between 12 to 18 months per budget period. Drawdowns generally by direct issue check.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly and quarterly financial and progress reports and final evaluation reports.

**Audits:** In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform requirements for grants to State and local governments, audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, 'Standards for Audit of Government Organizations, Programs, Activities and Functions,' and additional OMB guidance.

**Records:** There are no special requirements outside of those of the GAO.

**FINANCIAL INFORMATION:**

**Account Identification:** 93-0100-0-1-505.

**Obligations:** (Grants) FY 81 $999,856; FY 82 not yet determined; and FY 83 est no funds were requested.

**Range and Average of Financial Assistance:** $24,400 to $150,000; $29,300, plant committees; $89,000, area committees; $66,600, industry committees.

**PROGRAM ACCOMPLISHMENTS:** Federal financial assistance provided in support of 14 joint labor-management committees covering over two million workers in the U. S.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Financial and administrative guidelines: FMCS FINANCIAL AND ADMINISTRATIVE GRANTS MANUAL (1/82).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Labor-Management Grant Programs Federal Mediation and Conciliation Service 2100 K Street, N.W., Washington, DC 20427. Telephone: (202) 653-5320. Contact: Peter L. Regner.

**RELATED PROGRAMS:** 34.001, Labor Mediation and Conciliation.

**EXAMPLES OF FUNDED PROJECTS:** Rome Cable Co., NY; Michigan QWL Council, Detroit, MI; Philadelphia Area LMC, PA; Houston Belt and Terminal Railway Co., TX; City of San Francisco LMC, CA.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria include cost benefit and effectiveness, justification of need for assistance, the statement of measurable goals, the feasibility of the approach, and the commitments of appropriate committee members.

# FEDERAL TRADE COMMISSION

## 36.001 FAIR COMPETITION COUNSELING AND INVESTIGATION OF COMPLAINTS

**FEDERAL AGENCY:** FEDERAL TRADE COMMISSION

**AUTHORIZATION:** Federal Trade Commission Act of 1914, 38 Stat. 717; 15 U.S.C. 41-58 as amended. Kindred duties subsequently added by the: Clayton Act, Robinson-Patman Act, Export Trade Act, Packers and Stockyards Act, Wool Products Labeling Act, Fur Products Labeling Act, Textile Fiber Products Identification Act, Fair Packaging and Labeling Act, Trade-Mark Act, Truth-in-Lending Act, Federal Cigarette Labeling and Advertising Act, Public Health Cigarette Smoking Act, Fair Credit Reporting Act, Alaska Pipeline Act, Hobby Protection Act, Deepwater Port Act, Magnuson-Moss Warranty - Federal Trade Commission Improvement Act, Equal Credit Opportunity Act, Energy Policy and Conservation Act, Consumer Leasing Act, Defense Production Act, Sections 1794 and 1796 of Veterans Benefits Act, Section 202 of Railroad Revitalization and Regulatory Reform Act; Hart-Scott-Rodino Antitrust Improvement Act; Fair Debt Collection Practices Act; Petroleum Marketing Practices Act; Outer Continental Shelf Lands Act Amendments of 1978; Electronic Fund Transfer Act; National Energy Conservation Policy Act; Public Law 95-619; and Powerplant and Industrial Fuel Use Act of 1978.

**OBJECTIVES:** To prevent and eliminate monopolistic practices and unfair methods of competition; to investigate and proscribe acts and practices which are unfair or deceptive to the consuming public.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Restrictive monopolistic practices, including price-fixing conspiracies, boycotts, price discriminations, and illegal mergers and acquisitions, are investigated and corrected. Major emphasis is also placed on correcting unfair or deceptive acts and practices, including false and misleading advertising, that are injurious to the consumer as well as to competition. Particular attention is directed to consumer redress as appropriate, and disclosure of the terms and conditions of warranties and service contract obligations. Other areas of focus include consumer credit and reporting, fair packaging and labeling, fair debt collection practices, food and drug advertising, general advertising, representations made by salesmen and others in the sale of goods and services, and mislabeled wool, fur and textile products.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Assistance is available to anyone.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Complaint must contain facsimiles of questioned advertising, labeling or other practice, or a summary of any oral misrepresentation involved, together with name and address of the alleged offender.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Send complaint to FTC. Questionable local practices should be referred to State or local authorities.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 29-0100-0-1-376.

**Obligations:** (Salaries and Expenses) FY 81 $66,059,000; FY 82 est $69,873,000; and FY 83 est $68,774,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Investigations initiated (formal): fiscal year 1980, 109; and fiscal year 1981, 110. Investigations completed or closed: fiscal year 1980, 102; and fiscal year 1981, 110; and fiscal year 1982 est 100. Orders to cease and desist issued: fiscal year 1980, 64; and fiscal year 1981, 47; and fiscal year 1982 est 50. Compliance actions completed: fiscal year 1980, 129, fiscal year 1981 est 130; and fiscal year 1982 est 130. Trade regulation rules and guides promulgated: fiscal year 1980, 1; fiscal year 1981, 0; and fiscal year 1982: 2 (pending congressional approval).

**REGULATIONS, GUIDELINES, AND LITERATURE:** A list of publications is available by writing the Federal Trade Commission, 6th and Pennsylvania Ave., NW, Washington, DC 20580. Publications are available in local Depository Libraries.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to communicate with the local FTC Regional Director: Room 13209, Federal Bldg., 11000 Wilshire Blvd., Los Angeles, CA 90024, Telephone: (213) 824-7575; FTS 799-7575; 450 Golden Gate Ave., Box 36005, San Francisco, CA 94102, Telephone: (415) FTS 566-1270; Room 1000, 1718 Peachtree St., NW, Atlanta, GA 30309. Telephone: (404) 881-4836; FTS 257-4836. Suite 1437, 55 E. Monroe St., Chicago, IL 60603, Telephone: (312) 353-4423; FTS 353-4423; Room 1301, 150 Causeway St., Boston, MA, 02114, Telephone: (617) 223-6621; FTS 223-6621; Rm. 2243-EB, Federal Bldg., 26 Federal Plaza, New York, NY 10007, Telephone: (212) 264-1207; FTS 264-1207; Suite 500, The Mall Bldg, 118 St. Clair Ave. Cleveland, OH 44114. Telephone: (216) 522-4207, FTS 293-4207; Suite 2665, 2001 Bryan St., Dallas, TX. 75201. Telephone: (214) 767-0032; FTS 729-0032; 28th Floor, Federal Bldg., 915 Second Ave., Seattle, WA 98174, Telephone: (206) 442-4655; FTS 399-4655; 1405 Curtis St., Suite 2900, Denver, CO 80202, Telephone: (303) 837-2271. FTS 327-2271; and Room 6324, 300 Ala Moana, Honolulu, HI 96850. Telephone: (808) 546-5685, FTS 546-5684.

**Headquarters Office:** Consumer Protection Matters: Director, Bureau of Consumer Protection, (202) 523-3727. Restraint of Trade Matters: Director, Bureau of Competition, (202) 523-3601 - Both are in the Federal Trade Commission building, 6th and Pennsylvania Avenue, NW, Washington, DC 20580.

**RELATED PROGRAMS:** 10.154, Market Supervision and Assistance; 10.155, Marketing Agreements and Orders; 10.800, Livestock and Poultry Market Supervision; 13.678, Consumer Affairs; 39.009, Consumer Information Center; 41.002 Interstate Commerce—Investigations of Complaints; 58.001, Securities—Investigation of Complaints and SEC Information; 59.009, Procurement and Technical Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 37.010 VIETNAM CLAIMS PROGRAM

**FEDERAL AGENCY:** FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES

**AUTHORIZATION:** Title VII of the International Claims Settlement Act of 1949, as amended; Public Law 96-606, approved December 28, 1980, 94 Stat. 3534, 22 U.S.C. 1645.

**OBJECTIVES:** To provide for determination of the validity and amounts of outstanding claims against Vietnam which arose out of the nationalization, expropriation, or other taking of (or special measures directed against) property interests of nationals of the United States.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The Commission is authorized to receive and determine the validity and amounts of claims, and to certify to the Secretary of the Treasury for payment out of such sums as may be paid to the United States by Vietnam, those claims of nationals of the United States found to be compensable. The term "National of the United States" means (a) A natural person who is a citizen of the United States or (b) A corporation or other legal entity which is organized under the laws of the United States or of any state, the District of Columbia, or the Commonwealth of Puerto Rico, if natural persons who are citizens of the United States own, directly or indirectly, 50 percent or more of the outstanding capital stock or other beneficial interest of such corporation or entity. It does not include aliens. "Property" means any property, right, or interest, including any leasehold interest; and debt owed by Vietnam or by any enterprise which has been nationalized, expropriated, or otherwise taken by Vietnam; and any debt which is a charge on property which has be nationalized, expropriated, or otherwise taken by Vietnam. "Vietnam" means the government of the Socialist Republic of Vietnam; any predecessor governing authority operating in south Vietnam on or after April 29, 1975, including the provisional revolutionary government of South Vietnam; the government of the former democratic republic of Vietnam; and any political subdivision, agency, or instrumentality of any of the foregoing entities. In order for a claim to be favorably considered, the property right on which the claim is based must have been owned, wholly or partially, directly or indirectly, by a national of the United States on the date of loss, and held by one or more nationals of the United States continuously from the date that the loss occurred until the date of filing with the commission.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be a national of the United States at the time of the filing of the claim.

**Beneficiary Eligibility:** After the initial filing of a claim, the claim will be adjudicated, and if the claim is found to be compensable, payment will be made by the Department of the Treasury (when and to the extent funds become available) to the claimant, his or her successor-in-interest, or his or her designee.

**Credentials/Documentation:** The burden of proving that the loss was actually sustained is upon the claimant, who is deemed to be the moving party. In addition, the claimant must show that the nationality requirements have been met, that the claimant or his or her predecessor in interest owned the property, and that there was, in fact, a taking of property by Vietnam.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Formal claim applications must be obtained from, and returned to, the Foreign Claims Settlement Commission. This is the only manner in which a claim may be filed. The deadline for filing such claims will be July 31, 1982. Upon receipt of the claim application, it will be acknowledged, docketed, and a claim number will be assigned.

**Award Procedure:** Claims are considered throughout the period of the program. Upon adjudication of a claim, a proposed decision is entered. If no objections are received within the period prescribed in the Commission's regulations, the proposed decision is entered as the final decision of the Commission. Awards are subsequently certified to the Secretary of the Treasury for payment (when funds become available) in accordance with statutory requirements.

**Deadlines:** The deadline for filing claims with the Commission will be July 31, 1982. The Commission is required to complete its work under the program by July 31, 1985.

**Range of Approval/Disapproval Time:** Claims are adjudicated as soon as possible before the completion date of the program.

**Appeals:** Any claimant whose claim is denied, in whole or inpart, is entitled to a hearing before the Commission or its representative with respect to the claim. An oral hearing or a hearing on the record may be requested. Upon such a hearing, the Commission may affirm, modify, or review its former action with respect to such claim, including a denial or reduction in the amount theretofore allowed.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Time of payments will depend upon the payment to the United States by Vietnam of sums to cover the losses found to be compensable, and the payment schedule arranged in such payment procedure.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** Account to be estimated upon receipt of payment from Vietnam in settlement of claims.

**Obligations:** (Salaries and expenses) FY 81 Not identifiable; FY 82 est Not identifiable; and FY 83 est Not identifiable.

**Range and Average of Financial Assistance:** No awards paid to date, and no estimate can yet be made for the future.

**PROGRAM ACCOMPLISHMENTS:** The notice of commencement of the period for filing claims in this program was published in the Federal Register on February 26, 1981, at 46 FR 14230. No claims have yet been filed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** commission regulations applicable to this program will appear at 45 CFR 500 (amendment pending). Copies of regulations and related materials will be available from the Commission in the near future.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of the General Counsel, Foreign Claims Settlement Commission, 1111 20th St., NW, Washington, DC 20579. Telephone: (202) 653-5883.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 37.011 SECOND CZECHOSLOVAKIAN CLAIMS PROGRAM

### (CZECH 2 Program)

**FEDERAL AGENCY:** FOREIGN CLAIMS SETTLEMENT COMMISSION

**AUTHORIZATION:** The Czechoslovakian Claims Settlement Act of 1981, Public Law 97-127, 99 Stat 1675, 22 U.S.C. 1642.

**OBJECTIVES:** To determine the validity and amounts of claims by nationals of the United States against the Government of the

Czechoslovak Socialist Republic for losses resulting from the nationalization or other taking of property after August 8, 1958.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The Commission and its staff, including attorneys, act on claims for property losses in Czechoslovakia after August 8, 1958, filed by persons who are United States nationals, corporations or other legal entities organized under the laws of the United States or any State or territory of the United States, or the District of Columbia, if natural persons who are nationals of the United States own, directly or indirectly 50 percent of the outstanding stock or other beneficial interest in such entity. The term national of the United States does not include aliens. The term property means any property, right or interest. In order to be compensable the property right or interest on which a claim is based must have been nationalized or otherwise taken by the government of the Czechoslovak Socialist Republic after August 8, 1958, the end of the period for the previous determinations by the Commission of claims under the first Czechoslovakian claims program authorized by Public Law 85-604, approved August 8, 1958. In order for an award to be granted, claims must be filed with the Commission on the official FCSC claim form No. 127 on or before October 31, 1982. Claims based on loss of property must have been owned wholly or partially, directly or indirectly by United States nationals from date loss arose to date of filing with the Commission. Awards granted by the Commission are certified to the Secretary of the Treasury for payment from $1.5 million claims fund provided by the Government of the Czechoslovak Socialist Republic.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant must be national of the United States at the time of filing claim.

**Beneficiary Eligibility:** After claim is timely filed, award can be granted to claimant, his successor in interest, or designee.

**Credentials/Documentation:** Claimant has burden of proving U.S. nationality, ownership, taking and value of property on which claim is based.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Claims must be filed with the Commission on FCSC Form No. 127 on or before October 31, 1982. Upon filing, claim will be acknowledged, docketed and assigned a claim number.

**Award Procedure:** Claims will be adjudicated between February 24, 1982 and October 31, 1984. After receipt of claim, the Commission's legal staff reviews claim and evidence. Claimant or his counsel is then contacted if additional evidence is required. Upon receipt of all evidence available, a Proposed Decision is issued and forwarded to the claimant or his counsel. Final Decision is then entered or issued and award amount certified for payment to the Secretary of the Treasury.

**Deadlines:** Deadline for making application or filing is October 31, 1982. Deadline for all adjudications is October 31, 1984.

**Range of Approval/Disapproval Time:** Claims are adjudicated when evidence is sufficient or when sufficient time in which to submit evidence has elasped.

**Appeals:** Appeals from Commission's Proposed Decision are to the Commission. No appeal outside the Commission is available.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Under Public Law 97-127, payments can not begin until awards have been certified to the Treasury Department. Award will be paid under regulations prescribed by the Secretary of Treasury from $1.5 million fund from Czechoslovakia - pro rata, if necessary.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** Account to be established by Secretary of the Treasury.

**Obligations:** (Salaries and expenses) FY 81 $0; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** No awards paid to date. All awards paid by Treasury Department.

**PROGRAM ACCOMPLISHMENTS:** Notice of deadline for filing claims and deadline for completion of the Second Czechoslovakian claims program published in the Federal Register on February 24, 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Commission regulations applicable to this program will appear at 45 CFR 500 (Amendment Pending). Copies of regulations and other program material will be available from the Commission.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of the General Counsel, Foreign Claims Settlement Commission, Washington, DC 20579. Telephone: (202) 653-5883. Contact: Nancy Bonner.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.001 BUSINESS SERVICES

### (Counseling on Doing Business with the Federal Government)

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Federal Property and Administrative Services Act of 1949, as amended, Public Law 81-152, 63 Stat. 390, 40 U.S.C. 486 (c).

**OBJECTIVES:** To promote the interest and participation of business concerns, especially small business and disadvantaged businesses in government procurement and surplus sales contracts.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Provides information and counseling to assist business firms in developing the government market potential for their products and services, to obtain contracting opportunities, and to purchase surplus property. Concession contracts are also available ranging from barber shops to bowling alleys. Recurring need for repair and renovation of government facilities provides small construction or general contractor opportunities. Government supply and service needs also offer small businesses a potential market.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any business concern is eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the nearest GSA Business Service Center (see listing in Appendix IV of the Catalog) by letter, telephone, or in person. Depending upon whether the individual or business concern wishes to buy or sell its goods and/or services, the appropriate form will be given for completion.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0400-0-1-804.

**Obligations:** (Salaries and expenses) FY 81 $2,545,000; FY 82 est $2,365,000; and FY 83 est $3,085,300.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Business Service Center personnel perform in excess of 150,000 business counseling actions annually and participate in approximately 300 business opportunity meetings each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Doing Business With the Federal Government," (Business Service Centers listed in Appendix IV of the Catalog.)

**INFORMATION CONTACTS:**

**Regional or Local Office:** Assistant Regional Administrator for External Affairs, Business Service Center, General Services Administration. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:** Director, Business and Industry Affairs Office (XB), General Service Administration. Washington, DC 20405. Telephone: (202) 566-1240.

**RELATED PROGRAMS:** 11.800, Minority Business Development—Management and Technical Assistance; 59.006, Minority Business Development—Procurement Assistance; 59.009, Procurement and Technical Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.002 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Section 203 of the Federal Property and Administrative Services Act of 1949, 63 Stat. 385, as amended, 40 U.S.C. 484. Section 13(g) of the Surplus Property Act of 1944, as amended, 50 U.S.C. App. 1622(g), Public Law 80-537, 62 Stat. 240, as amended, 16 U.S.C. 667b-d. Section 414 of Public Law 91-152, 83 Stat. 400, as amended, 40 U.S.C. 484b, and Section 218 of Public Law 91-646, 84 Stat. 1902, 42 U.S.C. 4638.

**OBJECTIVES:** To dispose of surplus real property.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Surplus real property may be conveyed for: public park or recreation use and public health or educational purposes at discounts up to 100 percent; public airport purposes, wildlife conservation, replacement housing and for historic monument purposes without monetary consideration; and for general public purposes without restrictions at a price not less than the estimated fair market value of the property. Surplus real property may also be transferred to the Secretary of Housing and Urban Development and the Secretary of Agriculture at their request for sale or lease by the respective Secretary at its fair value for use in the provision of housing for families or individuals of low or moderate income and for related public facilities and for related commercial and industrial facilities approved by the Secretary. Policies and procedures followed in the disposal of Federal surplus real property are currently under review. The possibility of increasing revenue from the number of properties sold to assist in alleviating the national debt is under consideration. This policy will have significant impact on the number of properties available for public benefit discount conveyance under this program. Restrictions: Surplus real property conveyed for public park or recreation use, historic monument, public airport use, and wildlife conservation use must be used for the purposes so conveyed in perpetuity. Property conveyed for health or education use must be used for those purposes for a period of not less than 30 years. Property conveyed to other than a public body for low or moderate income housing and related facilities must be used for this purpose for a period of not less than 40 years. Surplus real property which is not deeded to public bodies is generally offered for sale to the public on a competitive bid basis.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and local government agencies are eligible to apply for surplus real property for park, recreation, historic monument, public airport, health, educational, replacement housing, and general public purposes. Eligibility for property for wildlife conservation use is limited to the states. Tax-supported and nonprofit medical and educational institutions which have been held exempt from taxation under 501(c) (3) of the Internal Revenue Code are also eligible to apply for property for health and educational use. Public bodies or private individuals are eligible to apply for property for use in the provision of housing for families or individuals of low or moderate income, and for related public, commercial, and industrial facilities.

**Beneficiary Eligibility:** The general public.

**Credentials/Documentation:** The applicant must submit a proposed program of use of the property and evidence of its ability to finance the program.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants for property coordinate with other Federal agencies as follows: health use--Department of Health, and Human Services; education--Department of Education; public airport purposes--Federal Aviation Administration; park or recreational and historic monument use--National Park Service, Department of the Interior; wildlife conservation--Fish and Wildlife Service, Department of the Interior; low and moderate income housing--Department of Housing and Urban Development or the Department of Agriculture; replacement housing--any Federal agency having a requirement for property involving housing for displaced persons in connection with a Federal or federally assisted project.

**Application Procedure:** Applications for health use are submitted to the Department of Health and Human Services (HHS) which requests assignment of the property from GSA; applications for educational use are submitted to the Department of Education which requests assignment of the property from GSA; applications for park and recreation use are submitted to the National Park Service which requests assignment of the property from GSA. Interest in acquiring surplus property for housing and related facilities should be expressed to the Administrator, Office of New Communities Administration, Department of Housing and Urban Development or the Farmers Home Administration Department of Agriculture. Applications for other uses are submitted to GSA which then obtains the recommendation of the Federal agency which sponsors the use program.

**Award Procedure:** When possible, awards are made through the participating agency. Other awards are made to State or local units of government by the Administrator of GSA.

**Deadlines:** Advice of interest must be submitted within 20 days from date notice of availability of the property was released. Reasonable time thereafter is allowed for the filing of applications.

**Range of Approval/Disapproval Time:** From 3 to 6 months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The Federal agencies sponsoring the use programs are responsible for enforcing compliance with the restrictions.

**Audits:** The Federal agencies sponsoring the use program and GSA are responsible for audits.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0533-0-1-999.

**Obligations:** (Salaries and expenses) FY 81 $5,017,000; FY 82 est $4,782,000; and FY 83 est $4,870,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Disposal Program was as follows: Fiscal year 1981: Donations and other discounts - 110 properties having an estimated value of $57 million; Sales - 191 properties generating proceeds of $83.7 million; Fiscal year 1982: Donations and other discounts - 70 properties having an estimated value of $60 million; Sales - 116 properties generating proceeds of $113 million; Fiscal year 1983: Sales - 209 properties generating proceeds of 253 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Disposal of Surplus Real Property" - no charge; 41 CFR 101-47, Utilization and Disposal of Real Property.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Director, Real Property Division, Federal Property Resources Service, General Services Administration. Applicant's initial contact should be at the regional level. See list in Appendix IV of the Catalog.

**Headquarters Office:** Assistant Commissioner, Office of Real Property, Federal Property Resource Service, General Services Administration, Washington, DC 20405. Telephone: (202) 535-7084.

**RELATED PROGRAMS:** 14.211, Surplus Land for Low and Moderate Income Housing; 15.916, Outdoor Recreation—Acquisition, Development and Planning; 20.102, Airport Development Aid Program; 39.003, Donation of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.003 DONATION OF FEDERAL SURPLUS PERSONAL PROPERTY

### (Donation Program)

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** The Federal Property and Administrative Services Act of 1949, as amended, Public Laws 81-152 and 94-519, 63 Stat. 385, 40 U.S.C. 484. Surplus Property Act of 1944, as amended, 50 U.S.C. App. 1622 (g); the Comprehensive Older Americans Act Amendments of 1978, 92 Stat 1513 added Section 214 to the Older Americans Act of 1965, as amended.

**OBJECTIVES:** To transfer surplus property to the states for distribution to State and local public agencies for public purposes or to certain nonprofit education and public health activities and programs for older individuals; to public airports; and to educational activities of special interest to the armed services.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Surplus items are used by State and local public agencies for carrying out or promoting, for residents of a given political area, one or more public purposes, such as conservation, parks and recreation, education, public health, public safety, and economic development; by certain nonprofit, tax exempt educational or public health institutions or organizations for public health or educational purposes or for research for such purposes and programs for older individuals; or by public airports for airport development, operation or maintenance. Federal restrictions require that all surplus property be placed into use by the donee within one year of acquisition and be used at least for one year thereafter. Other restrictions, terms and conditions are imposed by the agencies determining eligibility (shown under Applicant Eligibility, below). The following items are representative of those donated: office machines and supplies, furniture, hardware textiles, special purpose motor vehicles, boats, airplanes, and construction equipment. Items not donated are made available for sale to the general public.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (a) State participation is contingent upon the acceptance by the General Services Administration (GSA) of a State plan of operation as being in conformance with Public Law 94-519. This State plan must establish a State agency which is responsible for the distribution of Federal surplus personal property to eligible recipients within the State on a fair and equitable basis. Eligible categories for the distribution of property through the State agencies for surplus property are defined as: (1) Public agencies which include (i) any State or department, agency, or instrumentality thereof; (ii) political subdivision of the State, including any unit of local government or economic development district, or any department, agency or instrumentality thereof; (iii) instrumentality created by compact or other agreement between a State and political subdivisions; (iv) multijurisdictional sub-State law; and (v) Indian tribe, band, group, pueblo, or community located on a State reservation. Eligibility for public agencies is determined by the State agency for surplus property. (2) Nonprofit, tax-exempt schools; colleges, universities, public libraries, schools for the mentally retarded or physically handicapped, educational radio or TV stations, day care centers, museums, medical institutions, hospitals, health centers, and clinics. Eligibility for nonprofit institutions and organizations including programs for older individuals, is determined by the State agency for surplus property. (b) Service educational activities, such as maritime academies, or military, Naval, Air Force, or Coast Guard preparatory schools, and includes the following national organizations: American Red Cross, Boy Scouts of America, Boys' Clubs of America, Camp Fire Girls, Girl Scouts of the United States of America, Naval Sea Cadet Corps, United Service Organizations, Little League Baseball, Young Marines of the Marine Corps League, and schools with military-connected programs. Eligibility is determined by the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics). (c) Public airports. Eligibility is determined by the Federal Aviation Administration. (d) Non-eligible institutions and organizations include institutions such as animal hospitals, summer camps or playgrounds that are not part of a public agency or a school, sunday schools, churches and nonprofit tax-exempt public health and education money-funding organizations that provide grants scholarships and funds to support approved or accredited public health and educational institutions but do not themselves operate such programs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Contact appropriate State or Federal agency shown under Applicant Eligibility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** (1) Public agencies and nonprofit educational and public health applicants coordinate with the State agency for surplus property. (2) Service Educational Activity schools and national organizations coordinate with their sponsoring military service or national headquarters. (3) Public airports coordinate with the regional Airports District Office of the Federal Aviation Administration. The coordinating agency which determines donee eligibility may request GSA to issue a screener's card to the donee which would authorize a designee to screen surplus property at specific location(s).

**Application Procedure:** Contact appropriate agency shown under Preapplication Coordination above.

**Award Procedure:** Upon determination of eligibility, applicant maintains contact with the appropriate agency shown under Preapplication Coordination, above.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Applicants participating through State agencies for surplus property may appeal a determination of ineligibility through the State agency for review by GSA who has oversight responsibility to insure that the State agencies operate in accordance with their State plan of operation, the GSA Federal Property Management Regulations and the provisions of the Federal Property and Administrative Service Act.

**Renewals:** State agencies must review and reestablish the eligibility of all donees at least once every 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Prescribed by agencies shown under Applicant Eligibility.

**Audits:** Prescribed by agencies shown under Applicant Eligibility.

**Records:** Prescribed by agencies shown under Applicant Eligibility.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0533-0-1-999.

**Obligations:** (Salaries and expenses) FY 81 $7,216,000; FY 82 est $7,018,400; and FY 83 est $6,936,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, surplus personal property with an original government acquisition cost of $315 million was donated; fiscal year 1982 is estimated at 300.0 million; and fiscal year 1983 is estimated at $300.0 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 101-44; "Donation of Personal Property," available for purchase from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. Pamphlet, "Donation of Federal Surplus Personal Property," available from General Services Administration at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contacts (except Service Educational Activities) should be at regional or local level. See Appendix IV of the Catalog for addresses of Regional Office, Federal Property Resources Service, General Services Administration. Individual units of Service Educational Activities national organizations such as Boy Scout or Girl Scout troops, Boys' Clubs, etc., should contact their regional or national headquarters; Service Educational Activity Schools should contact their sponsoring military service.

**Headquarters Office:** Director, Donation Division, Federal Property Resources Service, General Services Administration, Washington, DC 20405. Telephone: (202) 535-7015. Questions concerning eligibility of other organizations should be addressed to the State agency for surplus property, state Capital, in the state in which they reside.

**RELATED PROGRAMS:** 20.102, Airport Development Aid Program; 39.002, Disposal of Federal Surplus Real Property; 39.007, Sale of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.004 NATIONAL ARCHIVES REFERENCE SERVICES

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Public Law 90-620, October 22, 1968; 82 Stat. 1287; 44 U.S.C. 21.

**OBJECTIVES:** To provide reference services to the general public and the Federal Government on records of the Federal Government and on historical materials in Presidential Libraries.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information is furnished by the National Archives, seven Presidential Libraries, and 15 Federal Records Centers. Inquiries about records are answered by mail, but information in the records is furnished by making the records available in research rooms or by the sale of reproductions. Restriction statements are provided when there are restrictions on the use of records. The use of historical materials in Presidential Libraries is subject to restrictions prescribed by the donors.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone is eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** To see records in person, GSA Form 3365, Researcher Application, is required. To obtain information or copies by mail, contact the depository; if a form is required, applicant will be notified.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0300-0-1-804.

**Obligations:** (Salaries and expenses) FY 81 $22,884,000; (National Archives, $6,708,000; Presidential Libraries, $1,268,000; Federal Records Centers, $14,908,000); FY 82 est $19,929,000 (National Archives, $4,916,000; Presidential Libraries, $1,288,000; Federal Records Centers, $13,725,000); and FY 83 est $23,052,600 (National Archives, $6,190,000; Presidential Libraries, $1,288,000; Federal Records Centers, $15,574,000).

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the National Archives provided a total of 22,304,000 reference services from the sources shown below: National Archives 2,964,000, Presidential Libraries 627,000, Federal Records Centers 18,713,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 105-61. Over 200 publications are available as listed in "Publications of the National Archives and Records Service," available without charge from the Publications Sales Branch, National Archives and Records Service, GSA, Washington, DC 20408.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for a list of addresses.

**Headquarters Office:** Director, Central Reference Division, National Archives and Records Service, GSA, Washington, DC 20408. Telephone: (202) 523-3218.

**RELATED PROGRAMS:** 39.006, National Historical Publications and Records Grants; 42.006, Library of Congress Research Services; 42.007, Reference Services in Science and Technology; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.005 NATIONAL AUDIOVISUAL CENTER

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Public Law 90-620, October 22, 1968; 82 Stat. 1290; 44 U.S.C. 2110, 2307.

**OBJECTIVES:** To serve as an information, sales, loan, and technical service center for audiovisual materials produced by or for Federal agencies.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Copies of agencies' audiovisual materials on deposit with the National Audiovisual Center are for sale, rental or loan to the public. Normally not restricted, except as to Commercial use.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone is eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Order by letter.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0300-0-1-804.

**Obligations:** (Salaries and expenses) FY 81 $473,000; FY 82 est $329,000; and FY 83 est $349,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Film sales for fiscal year 1981 totaled $3,018,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "U.S. Government Films, A Catalog of Motion Pictures and Filmstrips", for sale by the National Audiovisual Center.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** National Audiovisual Center, General Services Administration, Washington, DC 20409. Telephone: (301) 763-1860.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 40.002, Government Publications—Sales and Distribution; 68.001, National Gallery of Art Extension Service; 84.005, College Library Resources.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.006 NATIONAL HISTORICAL PUBLICATIONS AND RECORDS GRANTS

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Public Laws 90-620, and 96-98, 82 Stat. 1293, 44 U.S.C. 2501-2507.

**OBJECTIVES:** To carry out the National Historical Documents Program which will help preserve important historical documents.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for the collection, preservation, arrangement, and description of records of historical interest and for the publication in book or microform editions of papers and documents of national historical significance. No funds are available for the purchase of collections, for building programs, for oral history projects, or for the creation of educational films or videotapes. The Commission does not support the publication of local history materials unless they are also of national historical significance. JOINT FUNDING: This program is considered suitable for joint funding with related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Educational and other nonprofit institutions (e.g., universities, colleges, libraries, historical societies, museums, university presses, archives, etc.); State and local governmental agencies (see 44 U.S.C. 2504). Individuals are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications from State and local governments are subject to the provisions of OMB Circular No. A-102. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. For further information, contact the Commission.

**Application Procedure:** Request detailed brochures for records preservation grants or publication grants from Executive Director; staff assists in formulating proposals. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are considered by the National Historical and Records Commission at quarterly meetings. Grants are formally made by the Archivist of The United States to the applicant institution by letter.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 2 to 3 months.

**Appeals:** Applications can be revised and resubmitted at any time.

**Renewals:** Same as application procedure.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Subject to consideration, depending on the project.

**Length and Time Phasing of Assistance:** Varies depending on scope of project.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Within 90 days after the expenditure of a grant, the grantee must make a financial report on the use of grant funds to the Executive Director, National Historical Publications and Records Commission.

**Audits:** Made after the final financial report. Under the total audit concept, audits will made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** The grantee institution maintains records which fully disclose the amount and disposition of granted funds, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0300-0-1-804.

**Obligations:** (Grants) FY 81 $4,303,000; FY 82 est $1,032,000; and FY 83 $0.

**Range and Average of Financial Assistance:** $5,000 to $90,000; $25,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 171 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grant application brochures.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** National Historical Publications and Records Commission, Washington, DC 20408. Telephone: (202) 724-1083.

**RELATED PROGRAMS:** 15.904, Historic Preservation Grants-In-Aid; 39.004, National Archives Reference Services; 68.001, National Gallery of Art Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** Information not presently available.

**CRITERIA FOR SELECTING PROPOSALS:** Information not presently available.

## 39.007 SALE OF FEDERAL SURPLUS PERSONAL PROPERTY

### (Sales Program)

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Federal Property and Administrative Services Act of 1949, as amended, Public Law 81-152, 63 Stat. 385, 40 U.S.C. 484.

**OBJECTIVES:** To sell property no longer needed by the Government in an economical and efficient manner and obtain the maximum net return from sales. General Services Administration conducts the sale of personal property for most of the civil agencies; the Department of Defense handles the sale of its own surplus property.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** This program provides individuals, business concerns, and other organizations with the opportunity to enter competitive bids for purchase of a wide variety of personal property whenever it is determined surplus to the needs of the Federal Government and available for sale. Included are automotive and other vehicles, aircraft, hardware, plumbing and heating equipment, paper products, office supplies and equipment, and many other items. The Government also generates a substantial quantity of scrap which is made available for public sale. Normally, there are no use restrictions on property purchased from the Government. States and local governments may purchase property by negotiation before it is advertised for competitive bid sale.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Competitive bid sales are open to the general public. The sale of surplus property by negotiation is authorized where the disposal will be to states, territories, possessions, political subdivisions thereof, or tax-supported agencies therein, subject to obtaining the estimated fair market value of the property and other satisfactory terms of disposal.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Interested individuals may have their names placed on mailing lists maintained by the GSA regional offices to be notified when the types of property desired become available for sale. States and local governments desiring to purchase property by negotiation should contact the General Services Administration regional office serving their area.

**Award Procedure:** Property is awarded to that responsible bidder whose bid, conforming to the invitation, is most advantageous to the Government, price and other factors considered.

**Deadlines:** None. (However, bids must be submitted by the time and date indicated in the sales offering.)

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0533-0-1-999.

**Obligations:** (Salaries and expenses) FY 81 $3,949,000; FY 82 est $3,554,000; and FY 83 est $3,816,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Proceeds from sales fiscal year 1981 amounted to $56.0 million; fiscal year 1982 estimate is $45 million; and fiscal year 1983 estimate is $48 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 101-45 Sale, Abandonment, or Destruction of Personal Property. Further information is available from General Services Administration free of charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Federal Property Resources Service, General Services Administration, address (select from Appendix IV of the Catalog the GSA Personal Property Sales office which serves the geographical area of interest); or Defense Property Disposal Service (for Department of Defense surplus property), DOD Surplus Sales, Post Office Box 1370, Battle Creek, MI 49016.

**Headquarters Office:** Director, Sales Division, Office of Personal Property, Federal Property Resources Service, General Services Administration, Washington, DC 20405. Telephone: (202) 535-7000.

**RELATED PROGRAMS:** 12.700, Donations/Loans of Obsolete DOD Property; 20.805 Ship Sales; 39.003, Donation of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.008 FEDERAL INFORMATION CENTER

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Public Law 95-491, 40 U.S.C. 751.

**OBJECTIVES:** To provide a single point in each major metropolitan area and/or State for the public to address questions about Federal agencies. The callers can receive the desired information or an accurate referral to the office which can best assist them.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Federal Information Centers may be used by the general public in making inquiries about any agency or Department of the Federal Government.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone can apply for information.

**Beneficiary Eligibility:** The general public.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Telephone or write nearest Federal Information Center.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0400-0-1-804.

**Obligations:** (Salaries and expenses) FY 81 $4,477,000; FY 82 est $4,322,000; and FY 83 est $5,147,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, the staff in the centers fielded approximately 7.2 million inquiries.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A brochure, "Federal Information Centers," is available in either English or Spanish from any of the Centers. (See Appendix V of the Catalog.)

**INFORMATION CONTACTS:**

**Regional or Local Office:** (See Appendix V of the Catalog for Federal Information Center addresses and telephone numbers. Also listed are telephone numbers in cities which have toll-free tielines that will put persons in contact with the nearest Federal Information Center.)

**Headquarters Office:** Federal Information Center Coordinating Staff, General Services Administration, Washington, DC 20405. Telephone: (202) 566-1937.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 39.009, Consumer Information Center; 40.002, Government Publications—Sales and Distribution.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 39.009 CONSUMER INFORMATION CENTER

**FEDERAL AGENCY:** GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:** Executive Order No. 11566, October 26, 1970.

**OBJECTIVES:** Assist Federal agencies to develop and release information of interest to consumers and to increase public awareness of the availability of this information.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Provides a quarterly catalog of selected government publications of consumer interest in English and an annual listing of Federal Consumer publications in Spanish.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone can request information.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Visit the nearest Federal Information Center (see Federal Information Center listing in Appendix V of the Catalog) or write to: Consumer Information Center, Pueblo, CO 81009.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 47-0104-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $1,327,000; FY 82 est $1,290,000; and FY 83 est $1,299,000. In addition to these amounts other Federal agencies pay the cost of reimbursing the Government Printing Office for distribution of free consumer publications from Pueblo, Colorado. These costs totaled $4,994,000 in FY 80; $4,000,000 in FY 81, estimated at $5,800,000 in FY 82, and estimated at $6,598,000 in FY 83.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Compiled a quarterly Catalog of Consumer Information. Prepared news releases and scripts, for media dissemination of consumer information. Released script material, and also made available in Spanish an annual consumer publication list. In 1982 it is planned to distribute consumer information catalogs consumer publications nationwide.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Consumer Information Catalog is free. Government publications listed in the catalog either are available free or are offered for sale at prices indicated.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Federal Information Centers (see Federal Information Center listing in Appendix V of the Catalog for addresses).

**Headquarters Office:** Executive Director, Consumer Information Center, General Services Administration, Washington, DC 20405. Telephone: (202) 566-1794.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 13.678, Consumer Affairs; 36.001, Fair Competition Counseling and Investigation of Complaints; 39.008, Federal Information Center; 40.002, Government Publications—Sales and Distribution.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# GOVERNMENT PRINTING OFFICE

## 40.001 DEPOSITORY LIBRARIES FOR GOVERNMENT PUBLICATIONS

**FEDERAL AGENCY:** GOVERNMENT PRINTING OFFICE

**AUTHORIZATION:** 44 U.S.C., 1901-1915.

**OBJECTIVES:** To provide a class of libraries in the United States known as depository libraries, in which certain Government publications are deposited by the Superintendent of Documents for the use of the public.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The purpose of this program is to make Government publications, including many which are out of print, available for reference in local areas. There are currently 1,355 depository libraries. There are no restrictions on the use of Government publications in depository libraries other than the general rules and regulations of the individual libraries. Public access is guaranteed by law. Depository publications remain the property of the U.S. Government.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Depository libraries are designated by members of Congress, with two Representative designations provided for in each congressional district and four Senatorial designations provided for in each State at large. By law, all State libraries, highest State appellate court libraries, libraries of land-grant colleges, and law school libraries are also depositories.

**Beneficiary Eligibility:** Services are available to everyone.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 04-0201-0-1-806.

**Obligations:** (70 percent printing) FY 81 $18,030,000; FY 82 est $21,421,000; and FY 83 est $22,356,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Through this program, selected U.S. Government publications are made available to Federal depository libraries for use of the general public. During fiscal year 1981, 28,090,000 publications were distributed to depository libraries. It is estimated that 44,643,000 publications will be distributed to depository libraries during fiscal year 1982, and 42,637,000 will be distributed in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A pamphlet "Government Depository Libraries" which describes the depository library system and contains a list of the libraries currently designated, is available without charge. It is revised annually at the direction of the Joint Committee on Printing.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The libraries listed in the program literature. There are 1,355 such depository libraries located in the United States.

**Headquarters Office:** Chief, Library Division, Library and Statutory Distribution Service, Stop SLL, Government Printing Office, Washington, DC 20401. Contact: W. J. Barrett, Assistant Public Printer (Superintendent of Documents). Telephone: (202) 275-3345. Mr. J.D. Young, Director, Library and Statutory Distribution Service, U.S. Government Printing Office, 5236 Eisenhower Avenue, Alexandria, Virginia 22304. Telephone: (703) 557-2050.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 40.002, Government Publications—Sales and Distribution.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 40.002 GOVERNMENT PUBLICATIONS—SALES AND DISTRIBUTION

### (The Government Bookstore)

**FEDERAL AGENCY:** GOVERNMENT PRINTING OFFICE

**AUTHORIZATION:** 44 U.S.C. Chapter 17.

**OBJECTIVES:** To make U.S. Government publications available for purchase.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Superintendent of Documents, Government Printing Office, is an authorized sales agent for publications resulting from study and research conducted by the various departments and agencies of the Federal Government. More than 21,000 titles covering nearly every field of interest are available for purchase at nominal prices. If purchasers order 100 copies or more of one publication to be mailed to a single address, they will receive a 25 percent discount. Bookdealers, regardless of the quantity purchased, will be allowed a 25 percent discount when the publications, pamphlets, periodicals or subscription services are mailed, delivered, or forwarded to the dealer's normal place of business. No discounts are allowed when the publication, pamphlet, periodical, or subscription service is mailed to a third party (unless in quantities of 100 or more), or on those periodicals and subscription services which fall into a special pricing category as noted in price list No. 36, "Government Periodicals and Subscription Services" which is described below. Generally speaking, there are no restrictions on reprinting or quoting from U.S. Government Publications, as the code of laws of the United States provides that they cannot be copyrighted. However, Government publications occasionally contain copyrighted material which was used with permission of the copyright owner, and publication in a Government document does not authorize any use or appropriation of such copyright material without the consent of the owner. Since the Government Printing Office serves merely as a printing and distribution agency for Government publications and has no jurisdiction over their content or subject matter, it is suggested that the originating department or agency or its successor be consulted prior to reprinting or quoting from any given publication. In those instances in which permission to reprint material from Government publications is granted, customary credit should be given to the Government Department which prepared the material. By law, every publication printed through the GPO, whether it is designated for sale or not, must be cataloged and indexed. The "Monthly Catalog," which is produced to fulfill this obligation, lists all publications printed and is available to the public on a subscription basis. The Superintendent of Documents distributes over 500 Federal publications, which are of a nature to be supplemented or revised regularly, and periodicals. These subscription items are listed in the Superintendent of Documents price list no. 36, "Government Periodicals and Subscription Services," which is revised quarterly and includes order blanks for obtaining these items.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The services of the Superintendent of Documents are available to all interested parties and there are no eligibility requirements.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 04-0201-0-1-806; 04-4505-0-4-806.

**Obligations:** (Salaries and expenses) FY 81 $60,972,000; FY 82 est $51,850,000; and FY 83 est $52,655,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The sales program of the Superintendent of Documents provides a means whereby the public can purchase selected U.S. Government publications at nominal prices. During fiscal year 1981, 2,021,000 mail order sales were received and processed; during fiscal year 1982, it is estimated that approximately 2,041,000 will be processed; and an estimated 2,061,000 will be processed in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Selected United States Government Publications"-no charge. "Monthly Catalog of U.S. Government Publications," lists by agencies the publications printed each month. It includes those sold by the Superintendent of Documents, those for official use, and those which are sent to depository libraries-$90.00 a year. "Subject Bibliography Index"-no charge; lists approximately 250 Subject Bibliographies on topics ranging from "Accidents and Accident Prevention" to "Zoology", which are available free from the Superintendent of Documents.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Direct purchases of publications carried in stock may be made from the following Government Printing Office Bookstores: Alabama: 9220-B Parkway East, Roebuck Shopping City, Birmingham, AL 35206, Telephone: (205) 254-1056; California: ARCO Plaza, C Level, 505 South Flower St., Los Angeles, CA 90071, Telephone: (213) 688-5841; Rm. 1023; Federal Bldg., 450 Golden Gate Ave., San Francisco, CA 94102. Telephone: (415) 556-0643; Colorado: Rm. 117, Federal Bldg., 1961 Stout Street, Denver CO 80294, Telephone: (303) 837-3964; Majestic Bldg., 720 North Main St., Pueblo, CO 81003, Telephone: (303) 544-3142, District of Columbia: Government Printing Office, 710 North Capitol St., N.W., Washington, DC 20402, Telephone: (202) 275-2091; Department of Commerce, 14th and E Sts., N.W., Room 1604, 1st Floor, Washington, DC 20230, Telephone: (202) 377-3527; Department of Health and Human Services, Room 1528 North Building, 330 Independence Ave., S.W., Washington, DC 20201, Telephone: (202) 472-7478; Lobby, International Communication Agency, 1776 Pennsylvania Ave., N.W., Washington, DC 20547, Telephone: (202) 724-9928; Rm. 2817 North Lobby, Department of State, 21st and C Sts. N.W., Washington, DC 20520, Telephone: (202) 632-1437; The Pentagon, Rm. 2E172, Main Concourse S. End, Washington, DC 20310, Telephone: (703) 557-1821; Florida: Rm. 158, Federal Bldg., 400 W. Bay St., Jacksonville, FL 32202, Telephone: (904) 791-3801; Georgia: Rm. 100, Federal Bldg., 275 Peachtree St. N.E., Atlanta, GA 30303, Telephone: (404) 221-6947; Illinois: Rm. 1463, Everett McKinley Dirksen Bldg., 219 South Dearborn St., Chicago, IL 60604, Telephone: (312) 353-5133; Maryland: 8660 Cherry Lane, Laurel Md. 20707, Telephone: (301) 953-7974. Rm G25, Massachusetts; John F. Kennedy Federal Bldg., Sudbury St., Boston, MA 02203, Telephone: (617) 223-6071; Michigan: Suite 160, Patrick V. McNamara Federal Bldg., 477 Michigan Ave, Detroit, MI 48226, Telephone: (313) 226-7816; Missouri: Rm. 144, Federal Bldg., 601 East 12th St., Kansas City, MO 64106, Telephone: (816) 374-2160; New York: Rm. 110, Federal Bldg., 26 Federal Plaza, New York, NY 10278, Telephone: (212) 264-3825; Ohio: First Floor, Federal Office Bldg., 1240 E. 9th St., Cleveland, OH 44199, Telephone: (216) 522-4922; Rm. 207, Federal Bldg., 200 N. High St., Columbus, OH 43215, Telephone: (614) 469-6956; Pennsylvania: Rm. 1214, Federal Office Bldg., 600 Arch St., Philadelphia, PA 19106, Telephone: (215) 597-0677; Rm. 118, Federal Bldg., 1000 Liberty Avenue, Pittsburgh, PA 15222 Telephone: (412) 644-2721; Texas: Rm. 1C50, Federal Bldg., 1100 Commerce St., Dallas, TX 75242 Telephone: (214) 767-0076; 45 College Center, 9319 Gulf Freeway, Houston, TX 77017, Telephone: (713) 226-5453; Washington: Rm. 194, Federal Office Bldg., 915 Second Ave., Seattle, WA 98174, Telephone: (206) 442-4270; Wisconsin: Rm. 190, Federal Bldg., 519 E. Wisconsin Ave., Milwaukee, WI 53202, Telephone: (414) 291-1304.

**Headquarters Office:** Mail orders and inquiries should be addressed to: Superintendent of Documents, Government Printing Office, Washington, DC 20402. Contact: Mr. W. J. Barrett, Assistant Public Printer. Telephone: (202) 275-3345, Mr. Michael F. DiMario, Deputy Assistant Public Printer. Telephone: (202) 275-3347.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 39.005, National Audiovisual Center; 39.008, Federal Information Center; 39.009, Consumer Information Center; 40.001, Depository Libraries for Government Publications; 42.005, Library of Congress Publications; 43.002, Technology Transfer.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# INTERSTATE COMMERCE COMMISSION

## 41.001 INTERSTATE COMMERCE—COOPERATIVE ENFORCEMENT AGREEMENTS WITH STATES

**FEDERAL AGENCY:** INTERSTATE COMMERCE COMMISSION

**AUTHORIZATION:** Public Law 95-473; 49 U.S.C. 11502.

**OBJECTIVES:** To provide for information exchange between states and Federal Government in enforcement of economic laws on highway transportation. Main aim is to combat unlawful for-hire transportation by motor vehicle.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** A State may obtain assistance from the United States in administration, investigation, and enforcement of highway transportation laws. The Interstate Commerce Commission may lawfully give a State information which comes to the Commission's attention through investigation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States and State public utility commissions are eligible. Application is made by letter to the Commission accepting the terms of the agreement.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application is made by letter to the Commission accepting the terms of the agreement.

**Award Procedure:** A Cooperative Enforcement Agreement with a State becomes effective when the agreement is signed by the State and the Interstate Commerce Commission.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 30-0100-0-1-401.

**Obligations:** (Salaries and Expenses) FY 81 $180,000; FY 82 est $198,000; and FY 83 est $208,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Approximately 15,000 exchanges of information with the states were affected in fiscal year 1981. It is estimated that a similar number of exchanges of information be affected in fiscal year 1982, and 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 49 CFR 1022.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Secretary, Interstate Commerce Commission, Washington, DC 20423. Telephone: (202) 275-7428.

**RELATED PROGRAMS:** 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 41.002 INTERSTATE COMMERCE—INVESTIGATION OF COMPLAINTS

**FEDERAL AGENCY:** INTERSTATE COMMERCE COMMISSION

**AUTHORIZATION:** Interstate Commerce Act as amended; 49 U.S.C., Section 1 et seq.

**OBJECTIVES:** To handle complaints or inquiries made by the public on matters relating to Commission jurisdiction.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** The Interstate Commerce Commission will investigate complaints or inquiries which relate to deficiencies in carrier service, discrimination, or other types of violations by carriers subject to Commission jurisdiction.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person may make an inquiry, request, or complaint by letter, telephone, or personal contact.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The person making a complaint must give complete information relating to the complaint in order that it can be investigated.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An inquiry, request, or complaint can be made by letter, telephone, or personal contact with the nearest Interstate Commerce Commission office.

**Award Procedure:** Complaints or inquiries relating to deficiencies in carrier service, discrimination, or other types of violations will be investigated by the Commission if the carrier is subject to Commission jurisdiction.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 30-0100-0-1-401.

**Obligations:** (Salaries and Expenses) FY 81 $2,760,000; FY 82 $2,025,000; and FY 83 est $2,100,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Approximately 114,000 motor carrier, water carrier, railroad, and freight forwarder complaints were handled in fiscal year 1981. It is estimated that over 100,000 complaints will be handled in fiscal year 1982 and over 85,000 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The Commission maintains six regional offices to assist the general public. The locations are: Region 1 (Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, and Vermont) - Room 501, 150 Causeway St., Boston, MA 02114 - Tel. (617) 223-2372; Region 2 (Delaware, District of Columbia, Maryland, Ohio, Pennsylvania, Virginia, and West Virginia) - Federal Reserve Bank Building, 101 N. 7th St., Room 620 Philadelphia, PA 19106, (215) 597-4453 or 4449; Region 3 (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee) - Rm. 300, 1776 Peachtree St., N.W., Atlanta, GA 30309 - Tel. (404) 881-4371, 3060, or 4455; Region 4 (Illinois, Indiana, Michigan, Minnesota, North Dakota, South Dakota, and Wisconsin) - Rm. 1304, Everett McKinley Dirksen Bldg., 219 South Dearborn St., Chicago, IL 60604, Tel. (312) 353-6204; Region 5 (Arkansas, Iowa, Kansas, Louisiana, Missouri, Nebraska, Oklahoma, and Texas) - 411 West Seventh Street, Suite 600, Fort Worth, Texas 76102 - Tel. (817) 334-3101; Region 6 (Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, and Wyoming) - 211 Main Street, Suite 500, San Francisco, CA 94105 - Tel. (415) 974-7011.

**Headquarters Office:** Interstate Commerce Commission, Office of Compliance and Consumer Assistance, Washington, DC 20423. Telephone: (202 275-7148.

**RELATED PROGRAMS:** 20.303, Grants-in-Aid for Railroad Safety—State Participation; 26.002, Air Transportation—Consumer Affairs; 33.001, Shipping—Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# LIBRARY OF CONGRESS

## 42.001 BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED

**FEDERAL AGENCY:** LIBRARY OF CONGRESS

**AUTHORIZATION:** Act to provide Books for the Adult Blind, as amended; 2 U.S.C. 135, a, a-1, b.

**OBJECTIVES:** To provide library service to the blind and physically handicapped residents of the United States and its Territories.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** The program provides talking books, books in braille, and talking book machines. There are 56 regional libraries and 101 subregional libraries in the United States with a collection of approximately 34,000 titles in recorded and braille form and over 30,000 music scores, textbooks, and instructional materials in braille, large type and recorded form.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An applicant must provide a certificate of his inability to read or manipulate conventional printed material from a competent authority, defined in cases of blindness, visual disability, or physical limitations, as doctors of medicine, doctors of osteopathy, opthalmologists, optometrists, registered nurses, therapists, professional staff of hospitals, institutions, and public or welfare agencies. In the absence of any of these, certification may be made by professional librarians or by any person whose competence under specific circumstances is acceptable to the Library of Congress. In the case of reading disability from organic dysfunction, competent authority is defined as doctors of medicine who may consult with colleagues in associated disciplines.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** See Applicant Eligibility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications can be made to the National Library Service for the Blind and Physically Handicapped in Washington, or the 56 regional libraries, or 101 subregional libraries.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 03-0141-0-1-503.

**Obligations:** (9 percent salaries and expenses; 91 percent equipment and supplies) FY 81 $32,671,650; FY 82 est $33,221,000; and FY 83 est $33,378,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 838,870 blind and physically handicapped readers were served by regional and subregional libraries throughout the United States with a collection of 34,000 titles in recorded and braille form. Circulation of volumes and containers was 17,703,500.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Reading is for Everyone." Application form, list of regional and subregional libraries, 36 Code of Federal Regulations (Chapter VII).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Fifty-six regional and 101 subregional libraries in the United States. Each State has an agency distributing talking book machines. Local public libraries have such information available. Otherwise contact headquarters office listed below.

**Headquarters Office:** Director, Frank Kurt Cylke, National Library Service for the Blind and Physically Handicapped, Library of Congress, 1291 Taylor Street, NW, Washington DC 20542. Telephone: (202) 882-5500, FTS 287-5100.

**RELATED PROGRAMS:** 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.026, Handicapped Media Services and Captioned Films.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 42.002 COPYRIGHT SERVICE

**FEDERAL AGENCY:** LIBRARY OF CONGRESS

**AUTHORIZATION:** 17 U.S.C. 701, 702, 705, 706, 707, 708 etc.

**OBJECTIVES:** To administer the new U.S. Copyright Law, which became effective on January 1, 1978; examines and decides the acceptability of all applications, deposit copies, and other materials presented for registration of original and renewal copyright claims; records and publishes legal facts of copyright and bibliographic data pertaining to each registered work; furnishes information to the public about the procedures for making registration and the practices of the office; records documents of transfers of copyright ownership or other documents pertaining to a copyright including statements concerning the date of death of an author or a statement that the author is still living on a particular date; and promulgates copyright regulations. Registers compulsory licenses of jukebox operators and cable systems and collects the required royalties for later distribution by the Copyright Royalty Tribunal.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Anyone may request information about the copyright law, the Copyright Office regulations, the method of securing copyright, and the procedures for registering claims and recording documents. This information is free of charge. Reports on copyright facts found in the records of the Copyright Office may be obtained for a statutory fee of $10 an hour; however, any member of the public may use without charge the Copyright Card Catalog in the Copyright Office. Fees provided by law for registration of claims to copyright are $10 for all categories except renewals, which are $6. There are also separate schedules of statutory fees for recordations of transfers of copyright ownership, certified copies of record, import statements, etc.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Information supplied to anyone who requests it. Registration may be made by authors, their assignees, or their exclusive licensees, and others designated by law, or by their agents.

**Beneficiary Eligibility:** Generally the same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Walk-in service or written requests for information. Applications for registration are on forms provided by Copyright Office.

**Award Procedure:** Not applicable.

**Deadlines:** The owner of a copyright or the right of first publication in a work published with a copyright notice in the United States has a legal obligation to deposit in the Copyright Office, within certain time limits, two complete copies or phonorecords for the use of the Library of Congress; copyright registration under the 1976 Copyright Act is generally voluntary, although copyright owners are required to register their claim in order to obtain certain rights and remedies, registration can be made at any time during the copyright term. For works originally copyrighted between January 1, 1950 and December 31, 1977, a renewal claim must be submitted in the last (28th) year of the first term of copyright. To obtain a compulsory license for jukebox performances, the jukebox operator must register with the Copyright Office in

January of each year. Cable systems have deadlines for filing notices of signal carriage and statements of account.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** For works copyrighted between January 1, 1950 and December 31, 1977, there is a first term of protection lasting 28 years with the possibility of renewal for a second term of 47 years. During the last year of the first term of copyright, renewal may be made by the author (or certain of his successors in interest) by filing a renewal application and paying the statutory fee of $6. If renewal registration is not made for these works within the statutory time limits, a copyright of this sort will expire on December 31st of its 28th year, and protection will be lost permanently.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 03-0102-0-1-376.

**Obligations:** (90 percent salaries and expenses; 10 percent materials) FY 81 $14,474,980; FY 82 est $14,753,000; and FY 83 est $15,515,000 (Fees collected are returned to the U.S. Treasury to offset the costs of the program.)

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, a total of 471,000 registrations were made, an estimated 72,431 titles were searched and 8,259 search reports were prepared.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Applications, copies of regulations and printed informational circulars are available from Copyright Office at mailing address given below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Register of Copyrights, Copyright Office, James Madison Memorial Building, Library of Congress, Washington, DC. Telephone: (202) 287-8700. Mailing address: Copyright Office, Library of Congress, Washington, DC 20559.

**RELATED PROGRAMS:** 11.900, Patent and Trademark Technical Information Dissemination.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 42.003 DISTRIBUTION OF LIBRARY OF CONGRESS CATALOGING

### (Cataloging Data Distribution)

**FEDERAL AGENCY:** LIBRARY OF CONGRESS

**AUTHORIZATION:** 2 U.S.C. 150.

**OBJECTIVES:** To distribute cataloging and bibliographic information in the form of magnetic tapes, microforms, printed catalog cards, book catalogs, and other technical publications to Government agencies, libraries and other institutions and individuals. This enables them to utilize the Library of Congress cataloging and avoid costly cataloging in their own institutions.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Any institution or individual may purchase catalog cards, book catalogs, magnetic tapes, and other technical publications directly from the Cataloging Distribution Service.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any institution or individual may apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Request for ordering information.

**Application Procedure:** By written request.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 03-0101-0-1-503.

**Obligations:** (Salaries and Expenses) FY 81 $14,957,598; FY 82 est $15,095,337; and FY 83 est $15,719,528. (A major portion of this appropriation is derived from sales.)

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Cataloging Distribution Service sold 15,643,303 cards, 10,493 annual catalog subscriptions, 45,343 technical publications, and 192 annual subscriptions on order for MARC (Machine Readable Cataloging Data) magnetic tapes.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Literature describing the procedure for ordering materials is available from the Cataloging Distribution Service. A Cataloging Service Bulletin is issued quarterly.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** David G. Remington, Chief, Cataloging Distribution Service, Library of Congress, Washington, DC 20541. Telephone: (202) 287-6171 or 6100.

**RELATED PROGRAMS:** 84.005, College Library Resources; 84.034, Public Library Services; 84.035, Interlibrary Cooperation; 42.005, Library of Congress Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 42.005 LIBRARY OF CONGRESS PUBLICATIONS

**FEDERAL AGENCY:** LIBRARY OF CONGRESS

**AUTHORIZATION:** 2 U.S.C. 136.

**OBJECTIVES:** To provide Congress, government agencies, the research community, and the general public with information about the collections of the Library of Congress.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Library of Congress publishes guides to its collections, bibliographies on many subjects, literary brochures and records, a quarterly journal, book catalogs, facsimiles of items in the collections, and other materials in the field of library technology. It also issues literary and folksong recordings. These publications serve as guides to the Library's collections, working tools for other libraries, and reference materials for the scholarly world.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may purchase Library of Congress publications. The majority of these publications are for sale by the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Some are available directly from the Library of Congress.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 03-0101-0-1-503.

**Obligations:** (Services) FY 81 $400,850; FY 82 est $432,660; and FY 83 est $460,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 335 publications were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Library of Congress Publications in Print (issued annually) available from Library of Congress, Central Services Division, Washington, DC 20540.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Publishing Office, Library of Congress, Washington, DC 20540. Telephone: (202) 287-5093.

**RELATED PROGRAMS:** 10.883, National Agricultural Library Service; 40.002, Government Publications—Sales and Distribution; 42.003, Distribution of Library of Congress Cataloging.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 42.006 LIBRARY OF CONGRESS RESEARCH SERVICES

**FEDERAL AGENCY:** LIBRARY OF CONGRESS

**AUTHORIZATION:** 2 U.S.C. 136; 20 U.S.C. 91.

**OBJECTIVES:** To provide (1) general and specialized reference and bibliographic services based on the collections of the Library of Congress; and (2) referral services, based on an indexed inventory of some 13,000 information resources. Referral services are available in all subjects through the library's national referral center staff, who direct those with special questions concerning a particular subject to organizations or individuals who can provide the answer. In responding to each inquiry, the center draws on its current registry of 13,000 information resources and furnishes a name, address, telephone number, and description of services for each information resource provided. This information is also disseminated within broad topical areas, through occasional published volumes in the series "A Directory of Information Resources in the United States."

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Research and reader services are rendered in such diverse fields as American history, science and technology, African, Middle Eastern, Asian, Slavic, European, and Hispanic studies, music, geography, and cartography, and for such diverse materials as newspapers, serials (periodicals), manuscripts, maps, phonorecords, prints, photographs, and motion pictures. In general, guidance is offered in the identification and use of material, and, insofar as the pressure of public business permits, reference service in answer to telephone and written inquiries is offered to persons who have exhausted State, local, and regional resources. Indirect reference service is provided through bibliographic guides and research reports prepared by subject specialists and reference librarians. Certain types of requests are declined; however, persons requiring services which cannot be performed by Library staff can be supplied with the names of private researchers who can do the work on fee basis or of other individuals, organizations, and/or agencies which serve as information resources in the requested subject field.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Admission to the Library is free and admission to its reading rooms is permitted to all persons over high school age. Those who cannot come to the Library of Congress and who have exhausted available resources will be assisted by telephone and letter to the extent that time permits. Access to special collections is permitted to scholars and other serious researchers and may require advance arrangements.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Walk-in service or written request.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** On a selective basis, users of the referral service are later requested to report by questionnaire on the effectiveness of service.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 03-0101-0-1-503.

**Obligations:** (Salaries and Expenses) FY 81 $22,414,000; FY 82 est $22,672,000; and FY 83 est $23,930,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, Research Services Department divisions compiled 225 bibliographies (82,189 entries) and performed a total of 917,955 direct reference services (478,934 in person; 111,518 correspondence; and 327,503 by telephone).

**REGULATIONS, GUIDELINES, AND LITERATURE:** Brochures on services such as Information for Readers in the Library of Congress are available free upon request from the headquarters office listed below.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** General Reading Rooms Division (Telephone Inquiries), Library of Congress, Washington, DC 20540. Telephone: (202) 287-5522; National Referral Center (referral services) Telephone: 287-5670.

**RELATED PROGRAMS:** 39.004, National Archives Reference Services; 42.007, Reference Services in Science and Technology; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 42.007 REFERENCE SERVICES IN SCIENCE AND TECHNOLOGY

**FEDERAL AGENCY:** LIBRARY OF CONGRESS

**AUTHORIZATION:** 2 U.S.C. 136.

**OBJECTIVES:** To provide (1) general and specialized reference and bibliographic services based on library holdings in science and technology that include more than three million books, 60,000 serial titles, plus 3,000,000 technical reports.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Reference services based on the Library's science and technology collection's are provided to users in person, by telephone and by correspondence. Indirect reference service is provided through bibliographic guides and research reports prepared by division subject specialists and reference librarians.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Reference services are available to any individual or organization working in the fields of science and technology.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Walk-in service, telephone and written request.

**Award Procedure:** Not applicable.

**Deadlines:** General services provided within maximum turn-around time of five working days.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 03-0101-0-1-503.

**Obligations:** (Salaries and Expenses) FY 81 $891,000; FY 82 est $911,900; and FY 83 est $932,900.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 45,000 direct reference services were provided.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available free upon request from headquarters office listed below are literature searching guides on specific topics of current interest (e.g., acupuncture) in the series "LC Science Tracer Bullet."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Science and Technology Division (reference services), Library of Congress, Washington, DC 20540. Telephone: Constance Carter, Reference (202) 287-5639.

**RELATED PROGRAMS:** 11.603, National Standard Reference Data System; 11.650, National Technical Information Service; 39.004, National Archives Reference Services; 42.006, Library of Congress Research Services; 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

## 43.001 AEROSPACE EDUCATION SERVICES PROJECT

### (Spacemobile)

**FEDERAL AGENCY:** NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

**AUTHORIZATION:** National Aeronautics and Space Act of 1958, as amended, Section 203(a) (3); Public Law 85-568; 42 U.S.C. 2473.

**OBJECTIVES:** To provide information about U.S. aeronautics and space research, development activities and their results, to enhance the knowledge of students and teachers and motivate them in science education and careers, to enrich the regular curricula, and to assist with in-service teacher training.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information is made available through lecture/demonstrations to assembled groups and personal contact with classroom teachers. Programs cannot be used where there are commercial overtones, for promotional purposes, or where admission is charged.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Schools, teacher training institutions, colleges, universities, civic groups, museums and planetaria.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not necessary, but may be helpful to contact Educational Programs office at any NASA field center or headquarters or the science supervisor of the respective State department of education.

**Application Procedure:** Letter request to NASA Field Centers listed below.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Three or four weeks.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Some teachers or institutions may be asked from time to time about the program and its results, to aid in performance evaluation.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 80-0103-0-1-999.

**Obligations:** (Salaries and expenses) FY 81 $972,612; FY 82 est $956,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During FY 81, NASA conducted 6,000 programs for over 1,099,252 people and 524 teacher workshops with 5,579 people in attendance. Radio and television programs accounted for another 95 programs for 9,503,652 people.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "NASA Aerospace Education Services Project"-free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact education officer at nearest NASA Field center: Ames Research Center, Moffett Field, Mountain View, CA 94035. Goddard Space Flight Center, Greenbelt, MD 20771; John F. Kennedy Space Center, Kennedy Space Center, FL 32899; Langley Research Center, Langley Station, Hampton, VA 23365; Lewis Research Center, 21000 Brookpark Rd., Cleveland, OH 44135; Johnson Space Center, Houston, TX 77058; Marshall Space Flight Center, Huntsville, AL 35812.

**Headquarters Office:** Chief of Educational Services, Code LCG-9, NASA Headquarters, Washington, DC 20546. Telephone: (202) 755-3757. Initial contact should be at NASA Field Center.

**RELATED PROGRAMS:** 20.100, Aviation Education; 43.002, Technology Transfer; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff; 60.013, Smithsonian Institution Traveling Exhibition Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 43.002 TECHNOLOGY TRANSFER

**FEDERAL AGENCY:** NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

**AUTHORIZATION:** National Aeronautics and Space Act of 1958, as amended, Section 203(a) (3), Public Law 85-568, 42 U.S.C. 2473.

**OBJECTIVES:** To insure that developments resulting from Government-sponsored civilian aerospace research and development are made available to widest extent practicable and appropriate for the nation's benefit.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Innovations, inventions, and improvements developed throughout the space program are brought to the attention of the public in several ways. NASA Tech Briefs is an indexed, quarterly journal containing articles which describe such innovations. Subscription is currently free to technology transfer agents although user charges are anticipated in the near future. Technological advances of special significance or complexity are published in the NASA SP series. NASA sponsored Industrial Application Centers and State technology applications centers offer specialized technical information services tailored to meet the needs of U.S. industry, and NASA's Computer Software Management and Information Center (COSMIC) offers government computer programs for secondary use in the public and private sectors.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Engineers and managers of domestic enterprises, professionals, and others involved in technology transfer are entitled to free subscriptions to NASA Tech Briefs. However, there is currently a waiting list due to a ceiling on the number of copies which may be printed. Technical information retrieval services and computer programs/documentation are available to domestic organizations on a fee-paying basis.

**Beneficiary Eligibility:** General public.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required.

**Application Procedure:** Program brochures are available from the Technology Utilization and Industry Affairs Division, NASA Headquarters. Local offices are listed in the paragraph on information contacts below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 80-0108-0-1-999.

**Obligations:** (Program costs; salaries and expenses are excluded) FY 81 $8,800,000; FY 82 $8,000,000; and FY 83 est $4,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The NASA Technology Transfer Program has helped many industrial, educational, and governmental organizations develop new products, increase productivity, and reduce costs. Typically, the Technology Utilization Program provides user access to aerospace technology in support of technical problem-solving. For example, the Skylab heat pipe system, being adapted and applied to a thermal control system on the Alaskan Pipeline, will help maintain structural integrity and control the environment by preventing uncontrolled freezing and thawing of the permafrost. NASA computer programs are routinely adapted and used by hundreds of companies, with substantial savings in software development costs. During the past year, 75,000 individuals and firms were given access to new product and process ideas and improvements from NASA resulting in new research and development by subscribing to Tech Briefs. Over 8,000 technical innovations from the space program have been published and are now available for use by American industry.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Spinoff 1982."; "NASA Tech Briefs".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Persons are encouraged to contact the Technology Utilization Officer at a NASA Field Center: Ames Research Center, MS AU240-2, Moffett Field, CA 94035, Telephone: (415) 965-6471; Hugh L. Dryden FRC, Code DCC, P.O. Box 273, Edwards, CA 93523, Telephone: (805) 258-3311, Ext. 787; Goddard Space Flight Center, Code 702.1, Greenbelt, MD 20771, Telephone: (301) 344-6242; NASA Pasadena Office, Code 160-601, 4800 Oak Grove Drive, CA 91103, Telephone: (213) 354-4849; John F. Kennedy Space Center, Code PT-STA-1, Kennedy Space Center, FL 32899, Telephone: (305) 867-3017; Langley Research Center, Langley Station, Hamption, VA 23655, Telephone: (804) 827-3281, Code 139A; Lewis Research Center, Code 7-3, 21000 Brookpark Rd., Cleveland, OH 44135, Telephone: (216) 433-4000, Ext. 422; Johnson Space Center, Code AT-3, Houston, TX 77058, Telephone: (713) 483-3809; Marshall Space Flight Center, Code AT01, Huntsville, AL 35812, Telephone: (205) 453-2223; NASA Headquarters/Code ET-6 Washington, DC 20546, Telephone: (202) 755-2219; Wallops Flight Center, Code OD, Wallops Island, VA 23337, Telephone: (804) 824-3411, Ext. 201; Persons or Organizations desiring comprehensive technical information service should contact Industrial Applications Centers or State Technology Applications Centers. Aerospace Research Applications Center (ARAC) Indianapolis, IN 46205, Telephone: (317) 264-4644; New England Research Application Center (NERAC) Storrs, CT 06268, Telephone: (203) 486-4533; Knowledge Availability Systems Center (KASC), Pittsburgh, PA 15260, Telephone: (412) 624-5211; North Carolina Science and Technology Research Center (NC/STRC), Research Triangle Park, NC 27709, Telephone: (919) 549-0671; Western Research Application Center (WESRAC), Los Angeles, CA 90007, Telephone: (213) 743-6132; Technology Application Center (TAC), Albuquerque, NM 87131, Telephone: (505) 277-3622; Kerr Industrial Application Center (KIAC), Durant, OK, 74701, Telephone: (405) 924-6822, Ext. 413; NASA/University of Kentucky Technology Application Program, Center for Public Affairs, University of Kentucky, Lexington, KY 40506, Telephone: (606) 258-4632; NASA/University of Florida State Technology Applications Center, College of Engineering, University of Florida, Gainesville, FL 32611, Telephone: (904) 392-6626. Persons interested in acquiring computer programs developed by NASA and some other government agencies should contact: COSMIC, Suite 112 Barrow Hall, the University of Georgia, Athens, GA 30602, Telephone: (404) 542-3265.

**Headquarters Office:** Technology Utilization and Industry Affairs Division, Code LG-2, NASA Headquarters, Washington, DC 20546, (202) 755-7450.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 40.002, Government Publications—Sales and Distribution; 43.001, Aerospace Education Services Project.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# NATIONAL CREDIT UNION ADMINISTRATION

## 44.001 CREDIT UNION CHARTER, EXAMINATION, SUPERVISION, AND INSURANCE

**FEDERAL AGENCY:** NATIONAL CREDIT UNION ADMINISTRATION

**AUTHORIZATION:** Federal Credit Union Act as amended November 10, 1978; 12 U.S.C., 1751 et seq.

**OBJECTIVES:** To offer to groups that have a common bond the opportunity to establish and operate their own credit unions.

**TYPES OF ASSISTANCE:** Insurance; Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Staff will explain Federal credit union chartering requirements to any interested group, will help with the preparation of the charter application, will assist a newly chartered credit union to begin operation, and will assist credit unions and their members in consumer matters. Grant of a Federal charter will provide $100,000 depositor insurance on individual accounts. State-chartered credit unions are eligible to apply for depositor insurance in accordance with applicable State laws.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Associations of 300 or more members, employee groups of 200 or more, and rural communities with 300 or more families may qualify for a Federal credit union charter.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Made in the form of a request to the Chairman, National Credit Union Administration. Requests are submitted through regional offices.

**Award Procedure:** The organization certificate, if approved by the Chairman, shall be the charter of the Federal credit union and mailed to the keyman.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Once the necessary investigations are completed, the processing will take approximately two weeks.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 25-4056-0-3-371; 25-4468-0-3-371.

**Obligations:** FY 81 $92,110,000; FY 82 est $129,798,000; and FY 83 est $135,959,000. (Federal credit union program is supported by fees and insurance premiums).

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** All Federal credit unions have depositor insurance. As of December 31, 1981, approximately 5,035 State credit unions were federally insured. At year end 1981, approximately 12,164 Federal credit unions were in operation and were serving 26.9 million members. Federal credit unions' assets were $40.1 billion, loans to members were approximately $26.7 billion, and members' shares were nearly $36.6 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Credit Union Information Package available upon request. No charge for Information Package.

**INFORMATION CONTACTS:**

**Regional or Local Office:** 6th Floor, 441 Stuart Street, Boston, MA 02116, Telephone: (617) 223-6807; Federal Building, 310 North Second Street, Harrisburg, PA 17101, Telephone: (717) 782-4595; Room 500, 1365 Peachtree Street, N.E., Atlanta, GA 30367, Telephone: (404) 881-3127; Room 704 Federal Building, 234 N. Summit Street, Toledo, OH 43604, Telephone: (419) 259-7511; Suite 1400, 515 Congress Avenue, Austin, TX 78701, Telephone: (512) 397-5131; Suite 1830, 77 Geary Street, 2nd Floor, San Francisco, CA 94108, Telephone: (415) 556-6277.

**Headquarters Office:** Chairman, NCUA Board, National Credit Union Administration, 1776 G Street, N.W., Washington, DC 20456. Telephone: (202) 357-1000.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

## NATIONAL ENDOWMENT FOR THE ARTS

### 45.001 PROMOTION OF THE ARTS—DESIGN ARTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To promote excellence in design by funding activities in architecture, landscape architecture, urban design and planning, interior design, graphic design and fashion design. The program awards grants to community and neighborhood organizations, art institutions colleges and universities, local and state governments, professional designers, design students and other qualified individuals working on design projects.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grants may be used for projects fostering professional education and development, environmental education and public awareness, research, and design projects. There are no funds for capital improvement and construction, general operating costs, school tuition, or debt elimination.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170 (c) of the Internal Revenue Code; and to 2) individuals (ordinarily U.S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard applications (NEA-2 for individuals, NEA-3 for organizations) from: Director, Design Arts Program. National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. This program is subject to the provisions of OMB Circular No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from headquarters office listed below.

**Renewals:** Renewal grants may be made but are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with projects. Generally, request may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus three copies of narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $5,608,000; FY 82 est $4,794,000; and FY 83 est $3,132,000.

**Range and Average of Financial Assistance:** Individuals: Up to $15,000; $9,000. Organizations: Up to $50,000; $18,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 307 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs" and "Design Arts Guidelines" for appropiate fiscal year. For information on available publications about architecture and design projects, contact Design Arts Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Design Arts Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-4276 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 14.152, Mortgage Insurance—Experimental Homes; 14.153, Mortgage Insurance—Experimental Projects Other Than Housing; 14.154, Mortgage Insurance—Experimental Rental Housing; 45.003, Promotion of the Arts—Artists-in-Education; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.009, Promotion of the Arts—Visual Arts; 45.010, Promotion of the Arts—Expansion Arts; 45.011, Promotion of the Arts—Inter-Arts; 45.012, Promotion of the Arts—Museums.

**EXAMPLES OF FUNDED PROJECTS:** 1) To develop a book describing the successful redesign and rehabilitation of a condemned historic building for use by artists; 2) developing and administering technical assistance for organizations who sponsor design competitions for arts facilities, public buildings, public spaces, streets and pathways; 3) the development of architectural designs for a national Vietnam Veterans war memorial; 4) the development of a five-part television series showing how architecture, architectural landscapes, building interiors and products used everyday are conceived and designed; and 5) to explore how passive solar design principles (using the natural flow of hot and cold air) could offer practical models for organizing the shape of large scale architectural projects.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.002 PROMOTION OF THE ARTS—DANCE

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** The Dance Program provides support for professional choreographers and dance companies and organizations that present or serve dance. The Program assists traditional and innovative dance projects. The activites of mimes and mime companies also fall within the scope of the Dance Program.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grants may be used for the creation of new dance works, experiment with a new technique, dance touring, dance workshops, management improvement of professional dance companies, study with another choreographer, national services, regional development, and dance films. Generally, there are no funds for construction or rehabilitation of facilities, general support, study abroad, scholarships, publications, research or student performing groups.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170(c) of the Internal Revenue Code; and to 2) individuals (ordinarily U.S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-2 for individuals, NEA-3 for organizations, and "Application for Federal Assistance (Short Form)" for all State and local government entities) from: Director of Dance Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus two copies of narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following termination of grant, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $9,122,000; FY 82 est $8,152,000; and FY 83 est $5,699,000.

**Range and Average of Financial Assistance:** Individuals: $3,000 to $12,000. Organizations: $1,200 to $150,000; $23,510.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 388 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publication is available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Dance Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6383 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.005, Promotion of the Arts—Music; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.008, Promotion of the Arts—Theatre; 45.009, Promotion of the Arts—Visual Arts; 45.010, Promotion of the Arts—Expansion Arts; 45.011, Promotion of the Arts—Inter-Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) Dance notators recording the works of American choreographers including George Balanchine, Paul Taylor, Alvin Ailey, Agnes DeMille, Martha Graham and many others; 2) to provide a video documentation service for choreographers who have little or no access to video equipment and also provide a videotape library for dance presenters; 3) a network of performances in a large suburban community and a related number of lecture demonstrations of interpretive folk dance from around the world; and 4) the presentation of eleven dance companies (seven of which were experimental modern dance companies) at the Kennedy Center in addition to master classes and open rehearsals.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.003 PROMOTION OF THE ARTS—ARTISTS-IN-EDUCATION

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants for special innovative projects in arts education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for placement of practicing professional artists in educational settings, and for projects which bring professional artists and people of all ages together in arts activities. There are no funds for rehabilitation or construction of facilities, study abroad, or scholarships.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made only to nonprofit organizations if donations to such organizations qualify as a charitable deduction under Section 170 (c) of the Internal Revenue Code of 1954. This definition also includes states, local governments, and State arts agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-3 for organizations and "Application for Federal Assistance (Short Form)" for State and local government entities) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishments.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $5,302,000; FY 82 est $4,872,000; and FY 83 est $3,333,000.

**Range and Average of Financial Assistance:** Individuals: none. Organizations: $2,000 to $80,000; $45,700.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 116 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs" and "Artists in Education Guidelines" for appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Artists in Education Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6028 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.004, Promotion of the Arts—Literature; 45.011, Promotion of the Arts—Inter-Arts; 68.001, National Gallery of Art Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** 1) The poetry component of the Artist Residency program of the Frederick Burk Foundation, San Francisco; 2) The dance, film, poetry, and visual arts components for the Artist Residency program of the Alabama State Council on the Arts and Humanities; 3) Media Study, Buffalo, New York to employ artists and the renting of film/video equipment for a six-week workshop; 4) The Growing Mind, Berkeley, California to employ artists from the Baulines Craftsmen's Guild to work with children from the Full Circle School in the Crafts Apprentice Program; and 5) The Learning Guild in Boston, Massachusetts for support of elderly artists working with children in educational settings.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: Artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.004 PROMOTION OF THE ARTS—LITERATURE

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To aid creative writers -- poets; novelists; short story writers; film, radio, and television scriptwriters; essayists; literary critics; and translators of literary works through fellowships, funding of residencies for writers and support for noncommercial magazines and small presses.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded for creation of new works; for readings and residencies of creative writers in colleges, theatres, libraries, museums, art centers, prisons, hospitals and other institutions; for support of small literary presses and magazines throughout the country; and for assistance to national literary service organizations. There are no funds for construction or rehabilitation of facilities. Grants are given for publication to noncommercial literary magazines and small presses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170(c) of the Internal Revenue Code; and to 2) individuals (ordinarily U. S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-2 for individuals, NEA-3 for organizations, and "Application for Federal Assistance (Short Form)" for local and State government entities) from headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $4,937,000; FY 82 est $4,317,000; and FY 83 est $3,630,000.

**Range and Average of Financial Assistance:** Individuals: $6,250 to $12,500. Organizations: $1,000 to $81,000; $11,190.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 441 grants were awarded at an average amount of $11,190.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, 2401 E Street NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs" and "Literature Guidelines" for appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Literature Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6044 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.003, Promotion of the Arts—Artists-in-Education; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.008, Promotion of the Arts—Theatre.

**EXAMPLES OF FUNDED PROJECTS:** 1) New Virginia Review, Inc. for a State-wide traveling book display and reading series; 2) Dryad Press in San Francisco for the production of chapbooks; 3) Boise State University for a series of writers' residencies; 4) a creative writing fellowship; and 5) Louisiana State University Press for publication of "A Confederacy of Dunces" by John Kennedy Toole.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.005 PROMOTION OF THE ARTS—MUSIC

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Laws 90-348, 91-346, 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To support excellence in music performance and creativity and to develop informed audiences for music throughout the country.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grants may be used to assist exceptionally talented individuals and a wide range of organizations including professional symphony orchestras, contemporary music ensembles, groups engaged in jazz, national service organizations, choruses, chamber music ensembles, music festivals, and others. The types of activities supported vary, depending upon the guidelines under which assistance is requested. There are no funds for construction or rehabilitation of facilities, summer music camps, research, direct publication, purchase of musical instruments or uniforms, or for scholarship aid to individuals.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170(c) of the Internal Revenue Code; and to 2) individuals (ordinarily U.S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels in this field. Headquarters office will determine on a case-by-case basis those applicants that can further disperse grant money to subgrantees. Notification of grant award, if made to State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar (some grants require a 3 to 1 match), with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Organizations: Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment. Individuals: Narrative report within 90 days after termination of grant period.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following termination of grant, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $16,184,000; FY 82 est $14,204,000; and FY 83 est $9,651,000.

**Range and Average of Financial Assistance:** Individuals: $800 to $10,000. Organizations: $1,000 to $280,000; $14,370.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,126 grants were awarded at an average value of $14,370.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs," "Orchestra Guidelines," "Composers Guidelines," "New Music Performance and Chamber Music", "Chorus Guidelines," "Jazz Guidelines" "Music Festivals Guidelines," "Music Professional Training Guidelines," "Music Recording Guidelines," and "Solo Recitalists Guidelines", for the appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Music Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6390 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.002, Promotion of the Arts—Dance; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.008, Promotion of the Arts—Theatre; 45.009, Promotion of the Arts—Visual Arts; 45.011, Promotion of the Arts—Inter-Arts; 45.014, Promotion of the Arts—Opera and Musical Theatre; 45.015, Promotion of the Arts—Folk Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) A series of eight formal concerts of Renaissance music and workshops in colleges and communities nationwide; 2) a national tour of concerts (over fifty) and residencies by the Gregg Smith Singers featuring American music, especially the music of living American composers; 3) Twenty-eight week-long residencies featuring a performing artist (musician, dancer, mime, etc.) in both formal recitals and informal performances to varied audiences (hospitals, schools, factories, prisons, etc.); 4) to support the recording of the Pulitzer Prize winning "In Memory of a Summer Day" by David del Tredici as performed by the St. Louis Symphony Orchestra under the direction of Leonard Slatkin; and 5) a series of twenty-four free jazz concerts and workshops to be presented in low-income and minority communities with fees for master teachers for an institute of orchestral conducting and symphonic performance.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.006 PROMOTION OF THE ARTS—MEDIA ARTS: FILM/RADIO/TELEVISION

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209, as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants in support of projects designed to assist individuals and groups to produce films, radio and video of high aesthetic quality, to exhibit and disseminate media arts. The Endowment also assists the American Film Institute which carries out a number of assistance programs for film.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Support may be used for arts programming and experimental arts projects in film, videotape, television, and radio. Assistance is also available for regional media centers, and to educational and similar institutions for short term residencies, workshops and seminars which involve professional filmmakers, video artists, teachers, and students in the study of film as an art form. There are no funds for rehabilitation or construction of facilities or scholarship aid.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170(c) of the Internal Revenue Code; and to 2) individuals (U.S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-2 for individuals, and NEA-3 for organizations, and "Application for Federal Assistance (Short Form)" for local and State government entities) from headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts, (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained form the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $12,810,000; FY 82 est $10,555,000; and FY 83 est $6,247,000.

**Range and Average of Financial Assistance:** Individuals: $2,500 to $15,000; $7,500. Organizations: $1,000 to $500,000; $30,350.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 422 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, 2401 E Street NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs" and "Media Arts Guidelines" for the appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Media Arts Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6300 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.011, Promotion of the Arts—Inter-Arts; 45.104, Promotion of the Humanities—Media Humanities Projects; 84.065, Educational Television and Radio Programming.

**EXAMPLES OF FUNDED PROJECTS:** 1) Neighborhood film project for service to media arts centers in the Mid-Atlantic region of the U.S. including a bimonthly newsletter and conferences to implement long-range goals, such as improved equipment access and exhibition programs; 2) Educational Broadcasting Corporation for the "Dance In America" public television series; 3) The Black Filmmakers Foundation for a narrative film by Robert Gardner about a black southern family transplanted to the urban north; 4) National public radio for a series of programs on professional choral performance in America; and 5) The Chicago Filmmakers to support exhibition of works by independent filmmakers and personal appearances by the artists.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.007 PROMOTION OF THE ARTS—STATE PROGRAMS/PARTNERSHIP COORDINATION

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To assist State and regional public arts agencies in the development of programs for the encouragement of the arts and artists, and to assist organizations providing services at a national level to State or local arts agencies.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Funds may be used to develop arts programs, build audiences, encourage artists and provide assistance to artists, arts organizations, and to State and local arts agencies at the national level. Funds are also available to groups of State Arts Agencies for cooperative arts projects. State, regional and local agencies are also eligible for other grants from all program areas.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Agencies officially designated as the State Arts Agency by the Governor in each of the 50 states and six special U.S. jurisdictions, and other specific public arts agencies are eligible to apply.

**Beneficiary Eligibility:** The citizens of the 50 states and six special U.S. jurisdictions.

**Credentials/Documentation:** The Basic State Operating Grant requires that the agency be legally designated as the official State Arts Agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments only. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Appropriate applications are supplied by the Director of State Programs. These programs are subject to the provisions of OMB Circular No. A-102.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body). Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines are announced to official State Art Agencies and to regional arts agencies.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed aboved.

**Renewals:** Grants are awarded each fiscal year, but each application is treated as a new grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula grants must be matched dollar-for-dollar with non-Federal funds. Formula: Of the total appropriations (5C) in each fiscal year, no less than 20 percent will be available to State Arts Agencies and regional groups. Of this 20 percent, 75 percent will be alloted among State Arts Agencies in equal amounts of $200,000 or more and 25 percent will be available to the Endowment for making grants to State Arts Agencies and regional groups, with a minimum $200,000 bloc grant level taking precedence over the remaining percent for State agency and regional group grants.

**Length and Time Phasing of Assistance:** Each grant is for the full fiscal year or as designated. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Full evaluation of all projects contained in the State application and a final expenditure report.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $23,721,000; FY 82 est $21,286,000; and FY 83 est $14,528,000.

**Range and Average of Financial Assistance:** Basic State Operating Grants: $200,000 to [illegible] in fiscal year 1982. Other grants to State and regional arts agencies: $2,000 to $500,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 70 grants were made to 50 official State and six jurisdictional arts agencies, regional arts agencies and related nonprofit organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following is available from Information Processing, National Endowment for the Arts, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Directors, State Programs, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6055 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.002, Promotion of the Arts—Dance; 45.003, Promotion of the Arts—Artists-in-Education; 45.010, Promotion of the Arts—Expansion Arts; 45.011, Promotion of the Arts—Inter-Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) New Hampshire Commission on the Arts--Basic State Operating Grant; 2) Southern Arts Federation to undertake regional programs and services for its member states of Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee and Virginia; 3) New Mexico Arts Commission for the support of an executive director for the Taos Art Association; 4) National Assembly of State Arts Agencies for support of services provided at a national level to State Arts agencies; and 5) National Assembly of Community Arts Agencies for support of services provided at a national level to local arts agencies.

**CRITERIA FOR SELECTING PROPOSALS:** See ELIGIBILITY REQUIREMENTS.

## 45.008 PROMOTION OF THE ARTS—THEATRE

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, 91-346; Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants to aid professional theatre companies and organizations.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants to organizations are directed at professional theatre companies, professional experimental theatre companies, new play producing groups, playwright development programs and professional theatre for children and youth. Assistance is also available for theatre service organizations, artistic associates and threatre touring. There are no funds for construction or rehabilitation of facilities, and only limited funds for assistance to individual artists.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made only to nonprofit organizations if donations to such organizations qualify as a charitable deduction under Section 170(c) of the Internal Revenue Code. This definition includes states, local governments, and State Art Agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and standard application forms (NEA-3 for organizations) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $10,849,000; FY 82 est $9,531,000; and FY 83 est $6,487,000.

**Range and Average of Financial Assistance:** Individuals: $12,500; organizations: $1,500 to $245,000; $26,650.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 407 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs," and "Theatre Guidelines" for appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Theatre Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6387 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.002, Promotion of the Arts—Dance; 45.004, Promotion of the Arts—Literature; 45.005, Promotion of the Arts—Music; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.009, Promotion of the Arts—Visual Arts; 45.011, Promotion of the Arts—Inter-Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) Arizona Theatre Company for the support of the 1980-81 production season; 2) Goodman Theatre in Chicago to retain lighting designer as an artistic associate; 3) a fellowship for playwrights of expectional talent to produce new works; 4) Western State Arts Foundation to sponsor thirty-five and a half weeks of touring by five professional theater companies throughout the Foundation's ten-state region; and 5) to support a service organization which provides artistic and personnel services, such as casting referral and information, national auditions and fellowships in performing arts management, in addition to literary services, publications, and management services.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support of the project.

## 45.009 PROMOTION OF THE ARTS—VISUAL ARTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants to assist painters, sculptors, craftsmen, photographers, and printmakers; to support institutions devoted to the development of the visual arts in America.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants provide assistance for individual painters, sculptors, printmakers, conceptual artists, performance and video artists working within a visual arts context; for craftsmen and photographers of exceptional talent to commission and place art works in public spaces; for organizations sponsoring short-term residencies of artists, critics, craftsmen and photographers in educational and cultural institutions; for workshops for professional artists, photographers and craftsmen; for alternative artists', craftsmen's and photographers' exhibition spaces; for artists' photography and crafts services to the field; and for artists, photography and crafts publications.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170(c) of the Internal Revenue Code; and to 2) individuals (ordinarily U.S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-2 for individuals, NEA-3 for organizations, and "Application for Federal Assistance (Short Form)" for State and local government entities) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts, (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched, at least dollar-for-dollar, with non-Federal funds. Grants to individuals are made on a nonmatching basis.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for 3 years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $7,450,000; FY 82 est $6,561,000; and FY 83 est $5,072,000.

**Range and Average of Financial Assistance:** Individuals: $5,000 to $25,000; $12,500. Organizations: $500 to $50,000; $8,420.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 884 grants were awarded at an average value of $8,420.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs" and "Visual Arts Guidelines" for the appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Visual Arts Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-1566 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 15.850, Indian Arts and Crafts Development; 45.002, Promotion of the Arts—Dance; 45.005, Promotion of the Arts—Music; 45.008, Promotion of the Arts—Theatre; 45.011, Promotion of the Arts—Inter-Arts; 45.012, Promotion of the Arts—Museums.

**EXAMPLES OF FUNDED PROJECTS:** 1) To support maintenance and development of collections and services of a comtemporary arts library which provides meeting space, video and audio reviewing rooms and an extensive collection of art periodicals, artist books and catalogs to the art community; 2) Bard College to support a series of five photography exhibitions; 3) St. Louis Art Museum to support a traveling exhibition and catalogue of the photographs of Charles Watkins; 4) To write a manual of the Japanese "nagashizuki" papermaking process; and 5) Continued support of a program which provides artists with emergency funding to meet general subsistence costs.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.010 PROMOTION OF THE ARTS—EXPANSION ARTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Laws 90-348, 91-346, 93-133, and 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants to professionally directed, community-based arts organizations involved with urban, suburban, and rural communities. Particular attention is given to these organizations which serve citizens -- including ethnic minorities -- whose cultural needs are not met by the major arts institutions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for the following kinds of projects: professional instruction and training in the arts, arts exposure, the promotion of cross-cultural exchange, and the creation of new ways to assimilate new forms with established forms. There are no funds available for construction of facilities or for assistance to individuals.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made only to nonprofit organizations if donations to such organizations qualify as a charitable deduction under Section 170(c) of the Internal Revenue Code. This definition includes states, local governments, and State arts agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-3 for organizations, "Application for Federal Assistance (Short Form)" for State and local government entities) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched at least dollar-for-dollar with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $8,735,000; FY 82 est $7,215,000; and FY 83 est $5,307,000.

**Range and Average of Financial Assistance:** Organizations: $1,000 to $70,000; $12,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 719 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for Arts, Guide to Programs," "Expansion Arts Guidelines" for appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Expansion Arts Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6010 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 14.219, Community Development Block Grants/Small Cities Program; 15.850, Indian Arts and Crafts Development; 45.001, Promotion of the Arts—Design Arts; 45.007, Promotion of the Arts—State Programs/Partnership Coordination; 45.011, Promotion of the Arts—Inter-Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) Locally-based artists-in-residence for a multi-ethnic outreach program which presents various art forms to Greeks, Blacks, Cuban-Americans, rural communities and senior citizens in Tallahassee, Florida; 2) Clark College, Atlanta, Georgia for the support of a new folk opera, "The Ballad of Catfoot Grimes," combining dance, music, theater and early 20th century history of southern Louisiana culture; 3) North Carolina Arts Council to support an arts education program within the prison system, including employment of a full-time coordinator and several part-time instructors; 4) Centro Cultural de la Comunidad in Washington, DC to support a Latin cultural enrichment program of music, visual arts, theatre and dance training for youth and presentations such as exhibits, concerts and seminars; 5) Galveston County Cultural Arts Council in Galveston, Texas for continued support of the Arts Center on the Strand's professional arts classes, workshops, exhibits, performances and community services.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.011 PROMOTION OF THE ARTS—INTER-ARTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants for projects that involve two or more art forms or program areas and have potential national or regional impact.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used for projects which involve two or more art forms or program areas; which meet professional standards; which have potential national or regional significance; or are justifiable on the basis of geographic isolation from other quality arts activity. Included is assistance to: presenting organizations, artists' colonies where professional artists from various disciplines can work and meet their colleagues; interdisciplinary projects involving two or more arts disciplines; and arts service organizations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made only to nonprofit organizations if donations to such organizations qualify as a charitable deduction under Section 170(c) of the Internal Revenue Code. This definition also includes states, local governments, and State arts agencies. There are no grants to individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Copy of Internal Revenue Service tax exemption determination letter, in case of nonprofit organization. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; and costs will be determined in accordance with OMB Circular No. A-21 for grants and agreements with institutions of higher education, hospitals, and other nonprofit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request information for this program area and standard application forms (NEA-3 for organizations) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and No. A-102 as appropriate.

**Award Procedure:** The Chairman of the Endowment makes final decision on all awards based on recommendations from National Council on the Arts (the NEA advisory body) and consulting panels in this field. Headquarters office will determine on a case-by-case basis those initial applicants that can further disperse grant money. Notification of grant award, if made to State or political subdivision thereof or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched at least dollar-for-dollar with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $4,232,000; FY 82 est $4,307,000; and FY 83 est $2,634,000.

**Range and Average of Financial Assistance:** Organizations: $1,080 to $100,000; $16,720.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 253 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following is available from Information Processing, National Endowment for the Arts, 2401 E Street, NW Washington, DC 20506: "National

Endowment for the Arts, Guides to Programs", "Inter-Arts Guidelines."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Office of Inter-Arts, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6020 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.001, Promotion of the Arts—Design Arts; 45.002, Promotion of the Arts—Dance; 45.003, Promotion of the Arts—Artists-in-Education; 45.004, Promotion of the Arts—Literature; 45.005, Promotion of the Arts—Music; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.007, Promotion of the Arts—State Programs/Partnership Coordination; 45.008, Promotion of the Arts—Theatre; 45.009, Promotion of the Arts—Visual Arts; 45.010, Promotion of the Arts—Expansion Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) The Brooklyn Academy of Music to support their presentation season and assist in building audiences and patrons for it; 2) The MacDowell Colony for continued support for residency fellowships for writers, composers and visual artists; 3) Affiliate artists to support their Community Artist Residency Training Program designed to strengthen and widen the impact of the presenter within the community it serves; 4) The New York Arts Theater Institute to develop and present a performance art piece developed collaboratively by the artists who comprise this multi-disciplinary company--poets, actors, composers, choreographers and visual artists; and 5) The Arts and Business Council to provide guidance in developing their Skills/Services/Personnel Bank program nationwide. This program matches the experience of corporate executives with emerging arts organizations and established cultural institutions needing help with management skills.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.012 PROMOTION OF THE ARTS—MUSEUMS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Laws 90-348, 91-346, 93-133, and 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants in support of American museums' essential activities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used for mounting special exhibitions, utilization of collections, visiting specialists, conservation, training museum professionals, collection maintenance (climate control, security, storage), wider availability of museums, independent study for individuals, museum sabaticals and cataloguing. There are no funds for construction of facilities or for general operating costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as charitable deductions under Section 170(c) of the Internal Revenue Code; and to 2) individuals (ordinarily U.S. citizens only) who, according to Public Law 89-209, Section 5(c) must possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program for State and local governments only.

**Application Procedure:** Applicants should request guidelines for this program area and appropriate standard application forms (NEA-2 for individuals and NEA-3 for organizations) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are treated as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched at least dollar-to-dollar with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $13,235,000; FY 82 est $11,331,000; and FY 83 est $7,643,000.

**Range and Average of Financial Assistance:** Individuals: $1,100 to $18,000. Organizations: $370 to $500,000; $17,710.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 774 grants were made to organizations and individuals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following publications are available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402: "Museums USA: Highlights" ($.60); "Museums USA" ($4.40). The following are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs" and "Museum Guidelines" for appropriate fiscal year.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Museum Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-6164 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.009, Promotion of the Arts—Visual Arts; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations; 45.201, Arts and Artifacts Indemnity; 60.007, Museums—Assistance and Advice.

**EXAMPLES OF FUNDED PROJECTS:** 1) A followship to a museum professional which provided support for a three-month textile conservation internship and a visit to various European textile collections and conservation laboratories; 2) to support an exhibition and catalogue of Plains Indian Art in the Denver Art Museum; 3) to support the Studio Museum of Harlem's use of video in its education and exhibition programs; 4) to support conservation of works at the Muskegon Museum of Art in Michigan; and 5) to support an exhibition of drawings by 15th through 20th century sculptors examining the significance of drawing to sculptoral experimentation, vision and definition at the Drawing Center in New York City.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.013 PROMOTION OF THE ARTS—CHALLENGE GRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Laws 90-348, 91-346, 93-133, and 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To enable cultural organizations and institutions to increase the levels of continuing support and to increase the range of contributors to the programs of such organizations or institutions; to provide administrative and management improvements for cultural organizations and institutions, particularly in the field of long-range financial planning; to enable cultural organizations and institutions to increase audience participation, and appreciation of programs sponsored by such organizations and institutions; to stimulate greater cooperation among cultural organizations and institutions especially designed to better serve the communities in which such organizations or institutions are located; and to foster greater citizen involvement in planning the cultural development of a community.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are to encourage new and increased sources of contributed income on a continuing basis for cultural institutions including dance, theatre and opera companies, symphony orchestras, museums, regional media centers, community cultural centers, and public television and radio stations. Grants may be used to initiate or add to a cash reserve or endowment, to help eliminate a deficit, to meet increased operating costs, to assist a special one-time project, or to provide capital improvements for cultural facilities. Emphasis is placed on the long-range financial planning and establishment of permanent fundraising measures that will develop a larger constituency of continuing contributors.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made only to nonprofit organizations if donations to such organizations qualify as a charitable deduction under Section 170(c) of the Internal Revenue Code of 1954. This definition includes local governments and State arts agencies. Individuals are not eligible. Applicants must have recognized aesthetic quality and impact in the community, State, region or nation. Applicants should be eligible for support under regular Endowment programs (45.001 - 45.015).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applicants must request guidelines for this program and appropriate Challenge Grant application forms (NEA-3, Revised) from headquarters office.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment Headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the grant award, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** For fiscal year 1983, contact headquarters office regarding deadlines for notices of intent and applications.

**Range of Approval/Disapproval Time:** Generally, 8 months.

**Appeals:** None.

**Renewals:** None. Grants are on a one-time basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants must be matched on at least a three-to-one basis (some grants require a 4 to 1 match) with "new and/or increased" contributed income of a continuing nature. Most grantees will be expected to match in excess of the 3 to 1 minimum.

**Length and Time Phasing of Assistance:** The grant period may be for one to three years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Grantees are required to file quarterly reports on contributions and fundraising progress and to submit annual audited financial statements. Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment are required.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by the grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $16,244,000; FY 82 est $15,360,000; and FY 83 est $7,364,000.

**Range and Average of Financial Assistance:** $50,000 to $1,500,000; $164,080.

**PROGRAM ACCOMPLISHMENTS:** For the first round of Challenge Grants, the Endowment combined its fiscal year 1977 and 1978 appropriations of $27,345,000 to award 60 grants benefitting some 75 organizations. These grants generated $215 million in new money from other sources. Second round grants totaling $30,175,000 were made to 101 organizations and generated $227 million. Third round grants totalled $25,465,000 and were made to 119 organizations. There was $15,079,000 awarded to 84 organizations in round four.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Information about Challenge Grants can be found in the Arts Endowment's "Guide to Programs" and in the "Challenge Grants Guidelines" for the appropriate fiscal year, which are available from Information Processing, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Coordinators. Contact Endowment headquarters for further information.

**Headquarters Office:** Challenge Grant Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 632-4783 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.001, Promotion of the Arts—Design Arts; 45.002, Promotion of the Arts—Dance; 45.003, Promotion of the Arts—Artists-in-Education; 45.004, Promotion of the Arts—Literature; 45.005, Promotion of the Arts—Music; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.007, Promotion of the Arts—State Programs/Partnership Coordination; 45.008, Promotion of the Arts—Theatre; 45.009, Promotion of the Arts—Visual Arts; 45.010, Promotion of the Arts—Expansion Arts; 45.011, Promotion of the Arts—Inter-Arts; 45.012, Promotion of the Arts—Museums.

**EXAMPLES OF FUNDED PROJECTS:** 1) G.A.M.E. Inc., New York City; 2) Ford's Theatre Society, Washington, DC; 3) Dallas Symphony Association; 4) The MacDowell Colony; 5) Alaska Repertory Theatre.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.014 PROMOTION OF THE ARTS—OPERA AND MUSICAL THEATRE

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Laws 91-346, 93-133, 93-348, and 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To support excellence in the performance and creation of professional opera and musical theatre throughout the Nation.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used to assist professional producing organizations of high artistic and managerial quality, and national service organizations. There are no funds for creation of new organizations, scholarship aid, scholarly research projects, building of endowments, construction of facilities, or reduction of accumulated deficits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made only to professional nonprofit organizations if donation to such organizations qualify as a charitable deduction under Section 170(c) of the Internal Revenue Code of 1954. This definition includes States, local governments, and State arts agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments only; and costs will be determined in accordance with OMB Circular No. A-21 for grants and agreements with institutions of higher education, hospitals, and other nonprofit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by State and local governments only.

**Application Procedure:** Applicants should request information for this program area and appropriate standard application forms (NEA-3 for organizations, and "Application for Federal Assistance (Short Form)" for State and local government entities) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels in this field. Headquarters office will determine on a case-by-case basis those initial applicants that can further disburse grant money. Notification of awards, if made to State or political subdivision thereof or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meetings of the National Council on the Arts.

**Appeals:** Information on the appeals process may be obtained from the headquarters office listed below.

**Renewals:** Renewal grants may be made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations (some grants require a 3:1 match) must be matched, at least dollar-for-dollar, with non-Federal funds.

**Length and Time Phasing of Assistance:** Length and time may vary with project. Generally, requests may be received at any time for payment not to exceed what is needed for a 30-day period (or 14 days for grants of $100,000 and above).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Organizations: Financial report within 90 days after termination of grant period or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $6,295,000; FY 82 est $5,601,000; and FY 83 est $3,964,000.

**Range and Average of Financial Assistance:** $3,000 to $700,000; $41,140.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 153 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following are available from Office of Public Information, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs," and "Opera/Music Theatre Guidelines."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Opera/Musical Theatre Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone:(202) 634-6390 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.002, Promotion of the Arts—Dance; 45.005, Promotion of the Arts—Music; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.008, Promotion of the Arts—Theatre; 45.009, Promotion of the Arts—Visual Arts; 45.011, Promotion of the Arts—Inter-Arts.

**EXAMPLES OF FUNDED PROJECTS:** 1) The engagement of professional artists including young American singers by the Anchorage Civic Opera Association; 2) Eugene O'Neill Theater Center to support the fourth annual Composer/Librettist Conference; 3) Berkeley Stage Company to support the Theatre Festival of New Music presenting work which combines music, art and theatrical performances in an original, specialized way; 4) Twyla Tharp

Dance Foundation to support the creation of a full evening's work incorporating original dance, theater and musical elements; and 5) Metropolitan Opera Association, Inc. to support the second year of the Metropolitan Opera Young Artists Development Program which provides individualized three-year coaching, training and performance opportunities to young American artists.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.015 PROMOTION OF THE ARTS—FOLK ARTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended by Public Laws 90-348, 91-346, 93-133, and 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide grants to assist, foster, and make publicly available the diverse traditional American folk arts throughout the country. To encourage projects involving those community or family-based arts that have endured through several generations and that carry with them a sense of community aesthetic.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are available for the presentation of American folk arts, including festivals and exhibits; for media documentation and dissemination of American folk arts, including local and regional programming on television, radio, sound recordings, film and videotape; and for the development of organizations professionally involved in the support of folk arts and folk artists.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants may be made to: 1) nonprofit organizations, including State and local governments and State arts agencies, if donations to such organizations qualify as a charitable deduction under Section 170(c) of the Internal Revenue Code; and 2) individuals (U.S. citizens only) who, according to Public Law 89-209, Section 5(c) possess exceptional talent.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applying organizations are required to submit a copy of their Internal Revenue Service tax exemption determination letter with their applications. For State and local governments making application, allowable costs will be determined in accordance with OMB Circular No. A-87. For institutions of higher education, hospitals, and other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by State and local governments only.

**Application Procedure:** Applicants should request information for this program area and appropriate standard application forms (NEA-3 for organizations, and "Application for Federal Assistance (Short Form)" for State and local government entities) from headquarters office. This program is subject to the provisions of OMB Circulars No. A-110 and A-102, as appropriate.

**Award Procedure:** The Chairman of the Endowment makes the final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body) and the consulting panels to the agency. The Endowment headquarters will determine on a case-by-case basis those applicants who can further disburse grant money to sub-grantees. Notification of the awards, if made to any subdivision of a State or local government, must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Different for various projects. Information available from headquarters office listed below.

**Range of Approval/Disapproval Time:** Dependent on meeting of National Council on the Arts.

**Appeals:** None.

**Renewals:** Renewal grants are infrequent, and are processed as new applicants.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants to organizations, with few exceptions, must be matched at least dollar-for-dollar with non-Federal funds.

**Length and Time Phasing of Assistance:** The grant period may be for any length of time up to 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report within 90 days after termination of grant or as requested, plus narrative of accomplishment.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records to be retained by grantee for 3 years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Grants) FY 81 $3,105,000; FY 82 est $2,716,000; and FY 83 est $4,334,000.

**Range and Average of Financial Assistance:** $1,500 to $40,000; $11,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 254 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following are available from Office of Public Information, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs," "Folk Arts Program Description," and "Folk Art Guidelines."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Folk Arts Program, National Endowment for the Arts, 2401 E Street, NW, Washington, DC 20506. Telephone: (202) 634-4282 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 45.002, Promotion of the Arts—Dance; 45.005, Promotion of the Arts—Music; 45.006, Promotion of the Arts—Media Arts: Film/Radio/Television; 45.008, Promotion of the Arts—Theatre; 45.009, Promotion of the Arts—Visual Arts; 45.010, Promotion of the Arts—Expansion Arts; 45.011, Promotion of the Arts—Inter-Arts; 45.012, Promotion of the Arts—Museums; 45.014, Promotion of the Arts—Opera and Musical Theatre.

**EXAMPLES OF FUNDED PROJECTS:** 1) College of the Atlantic in Bar Harbor, Maine to support a local festival of Maine folklife to include French-speaking, English-speaking and Native American traditional artists; 2) The Han Sheng Chinese Opera Institute, Washington, DC to support the training of local Chinese-American artists in various aspects of Chinese Peking Opera and for performance expenses including guest artists fees; 3) Nebraska State Historical Society to hire a folk arts coordinator to work at the Center for Nebraska Folklife and to help present and document folk artists in Nebraska; 4) Fresno State College Foundation to support a resident folk artists program at Cal State University; 5) Turkish American Cultural Alliance for support of the presentation of monthly folk arts programs in the Chicago Turkish-American community.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: artistic quality, the merit of the project, the applicant's capacity to accomplish it, and evidence of local support for the project.

## 45.020 PROMOTION OF THE ARTS—NATIONAL ENDOWMENT FELLOWSHIP PROGRAM

### (Intern Program)

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES

**AUTHORIZATION:** National Endowment for the Arts and Humanities Act of 1965; Public Law 89-209 as amended by Public Law 90-348, Public Law 91-346, Public Law 93-133, and Public Law 94-462; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide a limited number of 13-week fellowships for professionals and students in arts administration and related fields. The internship is located at Endowment headquarters in Washington, DC. The program is designed to acquaint the participants with the policies, procedures, and operations of the Endowment and to give them an overview of arts activities in this country.

**TYPES OF ASSISTANCE:** Project Grants (Intern Fellowship).

**USES AND USE RESTRICTIONS:** Applicants should have two or three years of professional work experience or an advanced degree.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are made only to individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Submit resume, essay discussing career goals, three or more letters of recommendation, current position description and/or academic transcript.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications should be submitted to the headquarters office.

**Award Procedure:** The Chairman of the Endowment makes final decision on all awards based on recommendations from the National Council on the Arts (the NEA advisory body). Executive committee reviews and recommends applications on a case by case basis.

**Deadlines:** Usually six months before the start of the 13-week internship session.

**Range of Approval/Disapproval Time:** Usually two months after deadline date.

**Appeals:** None.

**Renewals:** Disapproved applicants may reapply for fellowships.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Fellowships are non-matching.

**Length and Time Phasing of Assistance:** Thirteen week stipend.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fellow works on projects within Endowment and writes evaluation report.

**Audits:** Not applicable.

**Records:** Financial records to be retained by grantee for three years following submission of final reports, or as determined.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** FY 81 $175,000; FY 82 est $97,000; and FY 83 est $100,000.

**Range and Average of Financial Assistance:** Includes a $3,300 stipend plus round trip travel.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 45 fellowships were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following are available from Office of Public Information, National Endowment for the Arts, 2401 E St., NW, Washington, DC 20506: "National Endowment for the Arts, Guide to Programs," and "National Endowment Fellowships Program Guidelines."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** National Endowment Fellowship Program, National Endowment for the Arts, 2401 E St., NW, Washington, DC 20506. Telephone: (202) 634-6380 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** All applications are reviewed according to the following standards: kinds of professional experience, advanced education, quality of essay on career goals, three recommendations, and resume.

## 45.104 PROMOTION OF THE HUMANITIES—MEDIA HUMANITIES PROJECTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To encourage and support radio and television production that: 1) advances public understanding and use of the humanities, including such fields as history, jurisprudence, literature, anthropology, philosophy, archeology; 2) is of the highest professional caliber both in terms of scholarship in the humanities and in terms of technical production; and 3) is suitable for national or regional television broadcast and distribution, or for national, regional or local radio broadcast.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are made for planning, script development, pilot production, or final program production. Personnel and other costs of production or presentation are appropriate. Funds are not available for purchase of permanent equipment or for training of personnel. Support is not offered for performance and creative work predominately in the arts.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments and nonprofit agencies, institutions, organizations or groups are eligible; each proposal must involve direct collaboration between experienced humanities scholars and producers, screenwriters, directors and actors of top professional stature.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A preliminary proposal, clearly defining the subject matter and its direct relationship to one or several humanities disciplines and providing a thorough presentation of production methods, a projected budget, and full professional background of all personnel to be involved should be submitted to the headquarters office listed below no later than six weeks in advance of a formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms (NEH-4) and proposed guidelines will be made available upon request This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by panels of scholars and media professionals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Please contact NEH for deadline information.

**Range of Approval/Disapproval Time:** Variable; average five months.

**Appeals:** None, but applicant may reapply with revised proposal.

**Renewals:** Renewals may be granted and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Significant cost-sharing encouraged and matching grants encouraged for major projects.

**Length and Time Phasing of Assistance:** One year. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final substantive and fiscal reports within three months of termination. Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final progress and expenditures reports plus two 16mm or video-cassette copies of final project are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $8,613,000; FY 82 est $8,447,000; and FY 83 est $4,200,000.

**Range and Average of Financial Assistance:** $4,000 to $1,000,000; $114,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 370 applications were received, 79 grants awarded. In fiscal year 1982, 240 applications were received, 75 grants were awarded. In 1983, a reduced number of awards is expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement, Media Program Guidelines, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Mara Mayor, Media Humanities Projects, Division of Public Programs, National Endowment for the Humanities, MS 403, Washington, DC 20506. Telephone: (202) 724-0318.

**RELATED PROGRAMS:** 45.113, Promotion of the Humanities—Program Development; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations.

**EXAMPLES OF FUNDED PROJECTS:** (1) Production of a television program dramatizing the story of Solomon Northrup, a free Black man who was forced into slavery, as part of a series about slavery in America. (2) Production of a documentary film about the impact of World War II on the domestic front. (3) Script development for a television program about the nature and function of language. (4) Script development for a television project about the cultures of South and Southwest Asia. (5) Production of a radio series about the life and work of Willa Cather.

**CRITERIA FOR SELECTING PROPOSALS:** (A) Projects must give promise of making a significant contribution to the general public's appreciation, use and understanding of knowledge specifically drawn from the humanities. (B) Projects must address a well-defined subject area within the humanities that clearly affords the opportunity to move beyond the presentation of information to the examination and interpretation of informing theses, countervailing arguments and fundamental concepts. (C) Projects must involve substantive use of the appropriate scholarly resources in the humanities in a definitive and objective manner and provide for full and effective collaboration between scholars drawn from the academic community and highly skilled professional producers, directors and writers drawn from both the commercial and noncommercial sectors of the broadcast and filmmaking industries. (D) Projects must provide a perceptive and appropriate approach to the subject matter and demonstrate that the proposed format is clearly thought out, imaginative and attractive to a general adult audience. (E) Projects must include a clearly drawn budget that is realistically considerate of potential development or production problems and properly reflects both the significance of the project and the experience of the principal personnel. (F) Projects must be designed to reach a broad regional or national adult public audience or, in the case of radio projects, a local, regional or national audience, and must provide both in a plan for and some assurance of secondary non-broadcast distribution and long-term utilization.

## 45.109 PROMOTION OF THE HUMANITIES—FELLOWSHIPS FOR JOURNALISTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To improve the quality of leadership in the profession of journalism--both print and electronic media--by offering journalists an opportunity to stand back from their work to study the historical, social, cultural and philosophical dimensions of their professional interests.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Nine-month fellowships are available during academic year 1982-83 for study at Stanford University and the University of Michigan.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individual applicants must have at least five years of professional experience as journalists and should have achieved leadership positions in their fields or their communities, or show promise of becoming leaders. Applicants must be United States citizens, native residents of U.S. territorial possessions, or foreign nationals who have been residents in the United States for at least three years immediately preceding the date of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application forms are available from the program directors at the institutions where the fellowships are offered, or they may be obtained from Professions Program, Division of Fellowships and Seminars, National Endowment for the Humanities, MS 101, Washington, DC 20506. Applications and reference letters (instructions for which are contained in the applications) are submitted directly to the program directors. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed and awards made by the fellowship institutions.

**Deadlines:** March 1, 1982.

**Range of Approval/Disapproval Time:** Three months.

**Appeals:** None, but applicants may reapply.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Assistance for fellows is for nine months during the academic year. Funds are released as required to the institutions administering the seminars, which disburse them to participants.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final reports on fellowship activities and accomplishments are required.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities, and Functions," and additional OMB guidance.

**Records:** None required.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $1,745,000; FY 82 est $660,000; and FY 83 est $0. This program is under consideration for elimination after FY 82.

**Range and Average of Financial Assistance:** Journalism fellows receive a stipend of $18,000 for the nine-month tenure period, plus a book allowance of $300.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, funds were obligated for 24 fellowships to be awarded for 1982-83. This same level of funding is budgeted for fiscal year 1982. In 1981, 24 fellowship awards were made from an applicant pool of 213.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (FY 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement and information describing the fellowship programs, available on request from the Division of Fellowships and Seminars, National Endowment for the Humanities, MS 101, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Director, Fellowships in The Humanities for Journalists, C-3 Cypress Hall, Stanford University, Stanford, CA 94305, and 2072 Frieze Building, University of Michigan, Ann Arbor, MI 48109.

**Headquarters Office:** Julian MacDonald, Program Officer for Fellowships for the Professions, Division of Fellowships and Seminars, National Endowment for the Humanities, MS 101, Washington, DC 20506. Telephone (202) 724-0376.

**RELATED PROGRAMS:** 45.121, Promotion of the Humanities—Summer Stipends; 45.142, Promotion of the Humanities—Fellowships for Independent Study and Research.

**EXAMPLES OF FUNDED PROJECTS:** Twelve fellowship awards were made at each of two universities to practicing journalists in all sectors of the print and electronic media. Fellows' time is divided between a program of independent study arranged individually by each fellow, and two seminars, required of all fellows, which run throughout the year.

**CRITERIA FOR SELECTING PROPOSALS:** Applicants for Journalism Fellowships are selected on the basis of their professional standing and ability at the time of application, their potential for professional development, and the significance and appropriateness of their fellowship-year study plans in view of the program's purpose. The selections of participants are made by the program directors with the advice of selection committees.

## 45.111 PROMOTION OF THE HUMANITIES—HIGHER EDUCATION/REGIONAL AND NATIONAL GRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To promote the development and testing of imaginative approaches to education in the humanities by supporting projects that can be completed within a specified period of time. Most projects are planned and implemented by groups of faculty, last one to three years, and are concerned with the design of model humanities programs intended for wide-spread use, the development of curriculum materials, or increased collaboration among educational and other cultural institutions. Projects also encourage excellence in teaching and promote serious attention to the central issues in the humanities by bringing groups of college faculty into residence at institutes for periods ranging from four to eight weeks or, in exceptional circumstances, longer for joint curriculum planning.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used to develop teaching materials, to plan, conduct, and evaluate curricular reform, or to hold institutes to improve the teaching of the humanities. Funds are not available for construction costs, library acquisitions, production costs of books or journals, nor for non-essential permanent equipment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Two-year and four-year public and private colleges, universities, and nonprofit educational organizations. For humanities institutes, public and private two-year and four-year colleges, universities and professional and educational associations with demonstrated faculty interest and expertise in the subject and appropriate library facilities.

**Beneficiary Eligibility:** Same as Applicant Eligibility for Regional and National Grants. For Institutes, participating faculty and their home institutions.

**Credentials/Documentation:** Certification of tax-exempt status may be required. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with Headquarters Office, followed by submission of preliminary draft, is urged. OMB Circular No. A-102 applies for this program.

**Application Procedure:** Submission to Headquarters Office of a proposal accompanied by an application form (NEH-4). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by panels of scholars and outside readers. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** January 6 and July 1.

**Range of Approval/Disapproval Time:** From five to seven months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Applications for renewal must compete against new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is generally required. The Endowment will contribute no more than 90 percent of the costs. In large grants, cost-sharing greater than 10 percent is preferred. For Institutes, beneficiary institutions are required to share costs.

**Length and Time Phasing of Assistance:** From less than a year up to three years. Funds must be expended during the grant period. For Institutes, up to two consecutive summers. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** Final audits may be made at the direction of the Chairman of the Endowment for up to three years after the grant period. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems must be retained for up to three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $4,504,000; FY 82 est $3,802,000; and FY 83 est $2,800,000.

**Range and Average of Financial Assistance:** $5,000 to $250,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 100 applications were received and 35 awards were made. In fiscal year 1982, 77 applications were received and approximately 25 will be made. Approximately 1,800 institutions over fiscal years 1980, 1981, and 1982 will be aided.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Education Programs available on request from National Endowment for the Humanities, MS 202, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Blanche Premo, Assistant Director, Higher Education/Regional-National Programs, National Endowment for the Humanities, MS 202, Washington, DC 20506. Telephone: (202) 724-0311.

**RELATED PROGRAMS:** 45.138, Promotion of the Humanities—Education Pilot Grants; 45.139, Promotion of the Humanities—Education Implementation Grants; 84.031, Higher Education—Strengthening Developing Institutions.

**EXAMPLES OF FUNDED PROJECTS:** (1) Through a series of institutes and seminars conducted by scholars of the Newberry Library, training is provided in the archival sciences to college teachers of history and literature convened from all parts of the country. The reading and interpretation of texts from the Renaissance Period (1400-1650) is emphasized. (2) The University or Maryland's Center for Philosophy and Public Policy designed syllabi and materials which relate ethics to public issues. Nationwide dissemination of these materials is anticipated after evaluation is completed. (3) In 1980, the Council for Philosophical Studies sponsored a six-week institute for 40 college teachers on "Phenomenology and Existentialism." The resulting booklet containing syllabi bibliographies and essays on "continental" and "analytic" philosophy has been distributed to every philosophy department in the country. (4) To teach the Old Testament in the context of Near Eastern Religious History, the Religion and Ethics Institute of Evanston, Illinois produced a series of 6 slide sets accompanied by printed lectures. Since their completion, 690 colleges, universities and seminars in the United States and 20 institutions abroad have purchased these materials.

**CRITERIA FOR SELECTING PROPOSALS:** How exemplary is the project? Is it substanitial intellectually? - Does the project contribute to humanities education in a significant way? - has it been demonstrated that there is a clear need for a project and that this project will help to meet that need, regionally or nationally? - If this project is a Humanities Institute, will it attract the participants for whom it is designed? - If this project is for the development of curriculum materials, have existing materials in the field been adequately surveyed? - How realistic and practicable is the plan for completing the project? - Do the project director and members of the staff possess the experience and qualifications necessary and appropriate for the satisfactory conduct of the project? - Are provisions for evaluation adequate? - Does the plan for dissemination address the appropriate audience? - How satisfactory is the proposed budget? Is there a convincing rationale for NEH support or does it appear that the insititution could support the project out of its own resources?

## 45.113 PROMOTION OF THE HUMANITIES—PROGRAM DEVELOPMENT

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To encourage and support exemplary projects that demonstrate new ways of relating the humanities to new audiences. Projects must draw upon resources and scholars in the fields of the humanities. Priorities include: projects undertaken by humanities institutions or by national or regional organizations in cooperation with educational or cultural institutions which bring humanities programming to public audiences; and projects using previously untested techniques for involving the public in programs examining the cultural, philosophical and historical dimensions of contemporary society.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Personnel and other costs of planning, production or presentation. Support is not offered for performance and creative work in the arts.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Humanities institutions, as primary grantees or co-sponsors with national membership organizations, State and local governments, and nonprofit organizations and institutions.

**Beneficiary Eligibility:** The same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Cirulr No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary draft of a few pages giving purposes, audience, subject matter, presentation methods, personnel involved, and rough cost estimate, should be submitted to headquarters office listed below six weeks in advance of the deadline. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms and proposed guidelines will be made available if preliminary draft indicates basis for application. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area, panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** April 1, 1982; July 15, 1982.

**Range of Approval/Disapproval Time:** Variable: average five months after deadline.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewals may be granted and are processed as a new application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent cost-sharing by the sponsoring institution is expected.

**Length and Time Phasing of Assistance:** Ordinarily not longer than 18 months to 2 years. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $4,852,000; FY 82 est $4,503,000; and FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** $10,000 to $200,000; $60,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 130 applications were received and 50 grants were made to colleges, universities and national organizations. The awards made supported major regional and urban projects, programs designed to reach new audiences within the humanities and projects which combined research for public purposes with discussion programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, available on request from National Endowment for the Humanities, MS 351 Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Lynn Smith, Program Development, Division of Special Programs. National Endowment for the Humanities, MS 401, Washington, DC 20506. Telephone: (202) 724-0398.

**RELATED PROGRAMS:** 45.104, Promotion of the Humanities—Media Humanities Projects; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations; 45.140, Promotion of the Humanities—Basic Research; 45.141, Promotion of the Humanities—State, Local, and Regional Studies; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff.

**EXAMPLES OF FUNDED PROJECTS:** (1) "Senior Center Humanities Program" - To develop discussion materials on such topics as "Images of Aging in Literature" and "Exploring Local History" for use in the nation's 5,000 senior centers. (2) "Conference on Literature and the Urban Experience" - To develop and disseminate educational materials for general public based on a conerence sponsored by Rutgers University. (3) "The American Farm: Roots, Values, Challenges" - To develop and evaluate humanities materials and methods related to the experiences and lives of rural people. The four themes include Land, Economics, Rural Image, and Rural People. (4) "The Italian-American experience in Chicago" - To develop archival material, exhibits, symposia and videotapes for public audiences in the Chicago area.

**CRITERIA FOR SELECTING PROPOSALS:** Activities supported by Program Development are expected to have one or more of the following outcomes: help to extend the work of humanities scholars to public audiences; provide more effective service to audiences with special needs; reach new audiences; or apply the humanities to important issues of public policy and to the interests of the general citizen.

## 45.115 PROMOTION OF THE HUMANITIES—YOUTHGRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209, as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To support humanities projects initiated and conducted by young persons.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded for research, education, film, and community projects in one or more of the fields included in the humanities: history, philosophy, language, linguistics, literature, archaeology, jurisprudence, art history and criticism, and the humanistic social sciences. Funds may be used to cover participants' stipends, adviser honoraria, clerical support, travel within the U.S., supplies and materials, and rental of space and equipment. Funds are not awarded for purchase of equipment, construction, performance or creative work in the arts, or for the general educational or training expenses of individuals, thesis work, foreign travel, or any work abroad.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Entities of State and local governments, and individuals who are U.S. citizens, native residents of U.S. territorial possessions, or foreign nationals who have been residents in the U.S. for at least three years immediately preceding the date of the application; and nonprofit U.S. organizations and academic institutions are eligible. Foreign institutions or organizations are not eligible and foreign nationals in the U.S. are also ineligible unless affiliated with a U.S. institution or organization.

**Beneficiary Eligibility:** Same as Applicant Eligibility, except that Youthgrants are normally awarded for projects developed by young persons in their teens and early twenties, who have not completed professional training or certification in the humanities. (Youthgrants have not been awarded to anyone over the age of 30.)

**Credentials/Documentation:** Certification of tax-exempt status may be required of organizations. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** It is strongly suggested that for group projects over $2,500 a brief preliminary proposal, outlining the project's content, scope, duration, background and current status of the project's director, and a brief budget description be submitted at least one month before the formal application deadline to the headquarters office listed below. Preliminary proposals are not required for individual applicants. The standard applications as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms and proposed guidelines will be made available upon request and should be requested at least one month before the November 15 deadline. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by a panel of young individuals with expertise in humanities projects conducted by young persons. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** One deadline per year--November 15, for projects beginning May 1, or later of the following year.

**Range of Approval/Disapproval Time:** Variable; average five months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Grants are not renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Individual Youthgrants are given for periods of up to six months: Group projects may run up to twelve months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic progress reports are required of all grantees. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $377,000; FY 82 est $400,000; and FY 83 est $200,000.

**Range and Average of Financial Assistance:** Up to $10,000 for group projects; up to $15,000 for film or video projects; individual projects or high school group projects may not exceed $2,500.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 492 formal applications were received and 88 Youthgrants awards were made. In fiscal year 1982, 225 applications were received and 40 Youthgrants awarded. In fiscal year 1983, the number of applications expected is 400, with awards numbering about 60.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, Youthgrants in the Humanities, Program Information for Applicants, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Glenn Marcus, Youthgrants Program Officer, MS 103 National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0396.

**RELATED PROGRAMS:** 45.135, Promotion of the Humanities—Youth Projects.

**EXAMPLES OF FUNDED PROJECTS:** (1) Two high school students from Frederick, Maryland researched and developed a tour guide, magazine article, and slide-tape presentation concerning the lives and local legacies of five Revolutionary War generals who grew up within a 25-mile radius in nearby West Virginia. (2) A graduate student in New York with an undergraduate assistant, is creating a comprehensive annotated bibliography of source materials on the history of Blacks in American theatre. A scholarly conference has been scheduled around the work. (3) Two 25 year old filmmakers in Oregon completed a half hour film documenting backyard gold-mining as a means of Depression-era economic survival in a small town outside Portland. Filmed interviews, old clips, and still photographs revealed the spirit of community cooperation and rugged individualism which helped conquer difficult times. (4) A group of high school students from Sebastopol, California created a booklet and videotape on the history of the small-gauge railroad which runs down the main street of the town. Their work won the highest achievement award ever given to the high-school age group by the Association of California Historical Societies. (5) An undergraduate from Wisconsin created a travelling exhibition with a catalog of photographs of America in the 30's by photographers funded by the Farm Society Administration.

**CRITERIA FOR SELECTING PROPOSALS:** Value of the project as a contribution to participants understanding and use of humanistic knowledge; clarity of the purposes of the project; rigorousness and appropriateness of methodology; the extent to which results will be disseminated; ability of applicant to undertake proposed work, realism of the budget; originality and replicability of the project; and extent to which project is the kind of humanistic activity best undertaken by young people.

## 45.116 PROMOTION OF THE HUMANITIES—SUMMER SEMINARS FOR COLLEGE TEACHERS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide opportunities for teachers at undergraduate private and State colleges and junior and community colleges to work during the summer in their areas of interest under the direction of distinguished scholars at institutions with first-rate libraries.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are to provide seminars for college teachers in the humanities and several fields of the social sciences. These seminars will be held during the summer under the direction of distinguished scholars at institutions with libraries suitable for mature research. Through reflection and discussions with the seminar directors and colleagues in a seminar atmosphere, college teachers will improve their knowledge of the subjects they teach and their ability as undergraduate teachers.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Scholars at institutions with suitable libraries for advanced study, who are not only recognized in their fields but who are well qualified by virtue of their interest and ability in undergraduate teaching, may submit proposals to the Endowment to become seminar directors. Directors, with the advice of their selection committees, choose the teacher participants (teachers at undergraduate colleges and junior and community colleges) from applicants to their seminars. Twelve teachers are selected for each seminar.

**Beneficiary Eligibility:** Applicants selected to receive stipends to attend the summer seminars are college teachers who are able and committed and who can derive the greatest benefit from and make the best contribution to the seminar. Preference will be given to those who have been teaching for at least three years and who have not recently had the opportunity to use the resources of a major library. Applications will not be accepted from persons enrolled or actively engaged in work leading toward a degree. These teachers in turn will transmit to their students in future years the benefits derived from the seminars.

**Credentials/Documentation:** Certification of tax-exempt status may be required of institutions. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with headquarters office is encouraged.

**Application Procedure:** Proposal instructions are available from the headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are reviewed by panels of scholars in the subject areas drawn from universities and two- and four-year colleges. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1, 1982 for seminar directors for summer of 1983; April 1, 1983 for teacher participants for summer of 1983. Similar deadlines in future years.

**Range of Approval/Disapproval Time:** About five months for seminar directors, about one month for teacher participants.

**Appeals:** None, but applicant may request a critique of the proposal and reapply.

**Renewals:** Renewals will be considered.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Approximately 5 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Approximately 12 months. Time phasing: January to December. The seminar itself lasts eight weeks during the summer. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final reports on project expenditures are required. A final narrative report assessing the results of the seminar and final expenditures report are required from the seminar director within 90 days after completion or termination of grant period. In addition, reports are required from the college teachers participating in the seminar assessing the value of the seminar for their professional development.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems, should be retained by grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $5,888,000; FY 82 est $4,816,000; and FY 83 est $3,000,000.

**Range and Average of Financial Assistance:** $45,000 to $65,000; $55,000.

**PROGRAM ACCOMPLISHMENTS:** In 1981, 115 summer seminars were offered; in 1982, 57 were offered; the number projected for 1983 is estimated to be 70 to 75. In fiscal year 1982, applications numbered 244, and 57 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement, and Summer Seminars brochure, both available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dorothy Wartenberg, Program Officer for Summer Seminars, Division of Fellowships and Seminars, National Endowment for the Humanities, MS 101, Washington, DC 20506. Telephone: (202) 724-0376.

**RELATED PROGRAMS:** 45.121, Promotion of the Humanities—Summer Stipends; 45.143, Promotion of the Humanities—Fellowships for College Teachers.

**EXAMPLES OF FUNDED PROJECTS:** (1) A university in North Carolina--The Interaction of Judaism and Early Christianity; (2) A university in Louisiana--American Literary Naturalism; (3) A university in Colorado--The War in Vietnam and Its Legacy; (4) A university in Michigan--The Concept of Spanish American Modernity; (5) A university in Connecticut--Modern Fiction: Portraits in Black and White. This last seminar is open only to teachers in two-year colleges.

**CRITERIA FOR SELECTING PROPOSALS:** In the evaluation of proposals to direct Summer Seminars, the following criteria are considered: (1) the seminar director's quality as a scholar, teacher, and interpreter of the humanities, as well as interest in undergraduate teaching; (2) the conception, definition, and organization of the seminar topic, and its appropriateness to the purpose of the program; (3) the suitability of the library collection at the host institution for advanced study in the field of the seminar. Although seminar directors have wide latitude to design seminars in their own fields of interest, the topics proposed should be broad enough to accommodate a wide range of interests. The focus of the seminars should be primarily substantive, and the purpose of the seminars should not be construed as curriculum planning or pedagogical training.

## 45.121 PROMOTION OF THE HUMANITIES—SUMMER STIPENDS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide support for college, university, junior and community college teachers, and others working in the humanities to pursue two consecutive months in full-time study or research. The work proposed may be within the applicants' special fields of study, or it may be in some other field that will enable them to understand their own fields better and enlarge their competence. The proposed projects may be ones that can be completed during the stipend period, or may be part of long-range projects.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for a project of study or research within applicants' special interests, or for study in some other field that will help applicants better understand their own fields, extend their competence, and become more broadly informed. Musical composition or performance, painting, the writing of poetry or fiction, and other creative or performing activities in the arts are excluded from Endowment support; fellowships are not awarded for planning curricula or the development of teaching materials, nor for studies whose content or methods are not humanistic.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applications may come from members of college and university faculties and from others who work in the humanities; applicants employed by academic institutions must be nominated by their institutions. Each college, university, and junior and community college in the United States and its territorial possessions may nominate three members of its faculty or staff for Summer Stipends. No more than two of the nominees should be in an early stage of their careers, and no more than one should be in a more advanced stage. Applicants with terminating appointments and persons not employed by colleges and universities are exempt from nomination and may apply directly to the Endowment. Although applicants need not have advanced degrees to qualify, they must have completed their professional training before applying. Active candidates for degrees are not eligible, nor are persons seeking support for work leading toward degrees. Applicants should be United States citizens, native residents of the United States territorial possessions, or foreign nationals who have been resident in the United States for at least three years immediately preceding the date of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants employed by academic institutions must be nominated by their institutions.

**Application Procedure:** Application forms are available after April 1 from each institution or from the headquarters office. Applications are submitted to the headquarters office.

**Award Procedure:** Applications are evaluated by panels of scholars and representatives of the nonacademic professions. Awards are made by the Chairman of the National Endowment for the Humanities upon recommendation by the National Council on the Humanities.

**Deadlines:** October 1, 1982 for awards for 1983.

**Range of Approval/Disapproval Time:** About five months.

**Appeals:** None, but applicant may reapply.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Two consecutive months; stipends disbursed in one payment.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A final report is required describing the results of the work done during the period of the award.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** None required.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $601,000; FY 82 est $650,000; and FY 83 est $550,000.

**Range and Average of Financial Assistance:** All awards are for $2,700.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 1,684 applications were received and 230 awards were made; 260 awards are projected for fiscal year 1982 and 220 for fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Mollie Davis, Program Officer for Summer Stipends, Division of Fellowships and Seminars, National Endowment for the Humanities, MS 101, Washington, DC 20506. Telephone: (202) 724-0333.

**RELATED PROGRAMS:** 45.116, Promotion of the Humanities—Summer Seminars for College Teachers.

**EXAMPLES OF FUNDED PROJECTS:** Stipends for 1981 were awarded for the following projects: (1) to investigate the changes in religion in 17th century Russia as reflected in sermon literature; (2) to interview Toki Zemmaro, a Japanese poet and playwright, and analyze Toki's modern noh plays; (3) to locate and examine the remaining correspondence of French poet, novelist and painter, Max Jacob; (4) to study musical life in 16th century Antwerp; and (5) to complete research and begin writing of the final draft of a book on the myth of the frontier in the age of industrialization.

**CRITERIA FOR SELECTING PROPOSALS:** (1) The quality of the applicant's work or the promise of quality; (2) the importance of the applicant's proposal to a specific field and to the humanities in general; (3) the conception, definition and organization of the proposal; and (4) the likelihood that the undertaking as proposed will be completed.

## 45.122 PROMOTION OF THE HUMANITIES—FELLOWSHIPS AT CENTERS FOR ADVANCED STUDY

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide fellowships for study and research in the humanities to independent centers for advanced study, in order to increase the opportunities for the uninterrupted and extended interchange of ideas which these centers make possible.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Centers may apply for funds with which to offer one or more fellowships, to be awarded by the centers themselves, within the framework of their own fellowship programs. The grants are intended to provide funds for fellowship stipends and standard allowances.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The program is intended for self-standing centers which are financed and directed independently of institutions of higher education, or predominantly so. Internal university centers are not eligible.

**Beneficiary Eligibility:** The fellowships are offered by the centers for advanced study or research in the humanities. They may not be awarded to degree candidates or for study leading to advanced degrees. Fellowship tenure must be at least six and not more than 12 continuous months in duration. Fellowship recipients will be granted all benefits, services, and accommodations normally accorded other fellows at the center.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with the Fellowships Division is encouraged. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application guidelines and materials are available from the headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council for the Humanities. This recommendation is based upon an evaluation of the center and its proposal by a group of consultants and by a panel. The evaluation may include a visit to the center by the consultant group and an Endowment staff member.

**Deadlines:** February 1, 1983.

**Range of Approval/Disapproval Time:** Seven months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Reapplication permitted.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants may be in either outright funds or matching (1:1) funds, or in a combination of the two.

**Length and Time Phasing of Assistance:** Eighteen to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In addition to a financial report, a narrative report describing the activities of the fellows and evaluating the success of the grant, and narrative accounts of activities from the fellows, are required. Progress reports are required at least annually. Final expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined necessary by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audits under generally accepted auditing systems should be retained for three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $567,000; FY 82 est $1,000,000; and FY 83 est $300,000.

**Range and Average of Financial Assistance:** $44,000 to $100,000 per annum. Average: (FY 81) $49,000; (FY 82), est $82,000.

**PROGRAM ACCOMPLISHMENTS:** Eight grants were made in fiscal year 1981 to fund approximately 69 fellowships; an estimated six grants for fiscal year 1982 will fund approximately 59 fellowships; and an estimated six grants for fiscal year 1983 will fund approximately 18 fellowships.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement, available on request from the National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Morton Sosna, Program Officer, Division of Fellowships and Seminars, MS 101, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0376.

**RELATED PROGRAMS:** 45.142, Promotion of the Humanities—Fellowships for Independent Study and Research; 45.143, Promotion of the Humanities—Fellowships for College Teachers.

**EXAMPLES OF FUNDED PROJECTS:** (1) An American research center in Egypt - Postdoctoral fellowships for the study of all aspects of Egyptian civilization from ancient times to the present. (2) New York - Post-doctoral fellowships for study and research in Ethics and the Life Sciences. (3) A school of American research in New Mexico - Postdoctoral fellowships for humanities study of the material achievements of Southwestern native Americans. (4) An institute for advanced study in New Jersey - Postdoctoral fellowships for research using the historical method as a principal instrument and for research using the social sciences to examine historical and contemporary materials to elucidate the processes of social change. (5) A library in Illinois - Postdoctoral fellowships in the humanities within Western civilization from the late Middle Ages to the early 20th century, especially the discovery, exploration, and settlement of the New World; the American Indian; the American West; local history, genealogy, and censuses; literature and history of the Midwest, American music, American cartography; Herman Melville; the Renaissance; Portuguese and Luzo-Braxilian history; history and theory of music; history of printing; and early philosophy and linguistics.

**CRITERIA FOR SELECTING PROPOSALS:** The following criteria are used to select proposals: a) the quality of the center's fellows; b) the stimulation provided by the scope and mix of their interests; c) the quality and scope of the resources, facilities, and services available to the fellows for their work; d) the effectiveness of the direction and administration of the fellowship program, including the announcement and selection process; and e) the importance of the work done at the center for the advancement of humanistic knowledge.

## 45.123 PROMOTION OF THE HUMANITIES—CONSULTANT GRANT PROGRAM

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** The Consultant Grant Program is designed to assist college faculty and administrators in the planning of improvements in humanities curricula in context by furnishing expert consultants and supporting consequent costs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants offered through the Consultant Grant program enable colleges and universities to receive expert assistance in the evaluation of existing humanities curricula and in the development of new programs or approaches. Consultants are selected from among outstanding directors and reviewers of curriculum development projects funded by NEH. All funds are used for expenses directly related to the consultancy; consultant honoraria, per diem and travel, and related secretarial and communication costs. The assistance provided by a consultant must be substantive; consultants are prohibited from assisting in the preparation of grant proposals to this or any other agency. No expenses not directly related to the consultancy, such as faculty salaries, equipment, indirect costs, student assistance, and so forth, may be received through this program, with the exception of modest amounts for faculty travel to other institutions which have programs in action similar in their substance or purpose to the planning aided by the consultant.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private two-year and four-year colleges, universities, technical and professional schools. State- and locally-controlled institutions of higher education are eligible to apply. An institution may work under only one Consultant Grant at a time.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with Headquarters Office is urged. OMB Circular No. A-110 applies for this program. A preapplication is encouraged but not required.

**Application Procedure:** Submission to Headquarters Office of a proposal written in accordance with and including the form (OMB 128-R-0071) contained in the Consultant Grant Application Instructions. A budget is submitted after the application has been approved by NEH.

**Award Procedure:** Applications are reviewed by the Endowment staff, by members of the National Board of Consultants, and by the National Council on the Humanities. Final decisions are made by the Chairman of the National Endowment for the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** March 1, June 1, and December 1.

**Range of Approval/Disapproval Time:** Three to four months.

**Appeals:** None, but applicant may reapply with revised proposal.

**Renewals:** Consultant grants are not renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Auditable cost sharing is not required, but the institution is expected to show its commitment to work being undertaken with the consultant's help by providing released time to participating faculty and by bearing the costs of services (such as secretarial services) and resources necessary to the task at hand.

**Length and Time Phasing of Assistance:** Consultancies may range over a brief or lengthy period of time but no consultancy may involve more than 20 actual working days for consultant. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Narrative evaluative reports must be submitted at the close of the consultancy by both the institution and the consultant. The institution must submit quarterly expenditures reports throughout the tenure of the grant and a final expenditures report within 90 days after completion or termination of consultancy.

**Audits:** Final audits may be made at the direction of the Chairman of the Endowment up to three years after the grant period. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems must be kept for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $705,000; FY 82 est $660,000; and FY 83 est $600,000.

**Range and Average of Financial Assistance:** $500 to $10,000; $6,500.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 107 awards were made; approximately 85 grants will be awarded in fiscal year 1982 and 85 in 1983. The Consultant Grant Program has provided institutions with sustained help in identifying problems and resources and in designing or revising curricula tailored to institutional needs and strengths. Consultant Grants have served a wide variety of needs, such as that of liberal arts colleges wishing to revitalize their major programs; state universities considering alternatives to fragmented general education requirements; community colleges wishing to design humanities courses suitable for vocational students; and schools of law, engineering, medicine, and business desiring to tie their professional training more closely to the humanities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Education Programs brochure, and Consultant Grant Application guidelines, both available on request from the Division of Education Programs, National Endowment for the Humanities, Mail Stop 202, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Janice Litwin, Division of Education Programs, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-1978.

**RELATED PROGRAMS:** 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.127, Promotion of the Humanities—Elementary and Secondary Education Program; 45.138, Promotion of the Humanities—Education Pilot Grants; 45.139, Promotion of the Humanities—Education Implementation Grants.

**EXAMPLES OF FUNDED PROJECTS:** (1) A private liberal arts college in Oregon received a Consultant Grant to engage the services of a professor from a university in California in strengthening a humanities core curriculum which emphasizes international studies. (2) A state university in Montana received a Consultant Grant to engage the services of a professor from a university in Oregon in developing a master's degree program in public history. (3) A branch of the state university in North Carolina received a Consultant Grant to engage the services of a professor from a college in Massachusetts in determining the proper role of the study of classics in the curriculum of the institution. (4) A community college in California received a Consultant Grant to engage the services of a professor from a college in Calfornia in integrating the study of the humanities into occupational/technical programs. (5) A library arts college in Iowa received a Consultant Grant to engage the services of a professor from a university in Pennsylvania in strengthening its foreign language offerings.

**CRITERIA FOR SELECTING PROPOSALS:** (A) Determination of Eligibility - Proposal must focus on the humanities disciplines; focus on curriculum development; and address the teaching and learning of the humanities at the post-secondary level. (B) Criteria for Funding - (1) Source and authorship of request: in most cases, faculty members rather than administrators should prepare the proposal; (2) evidence of broad interest in and commitment to a consultantship: the proposal should reflect the interests and concerns of most or all of those who will be involved in or affected by the consultantship, rather than the concerns of one individual or a small group; (3) stability of academic administration: requests from institutins undergoing major administrative changes are generally considered untimely; (4) reasonableness of request: the task for which consultant help is requested should be feasible within a consultantship of twenty days or less; (5) evidence of prior planning: faculty and administrators should nave thoroughly assessed their situation and clearly articulated their needs; and, (6) existence of other circumstances which suggest the timeliness or untimeliness of the request to NEH: e.g. institutional deadlines for program planning, upcoming accreditation evaluations, etc.

## 45.124 PROMOTION OF THE HUMANITIES—RESEARCH RESOURCES—ORGANIZATION AND IMPROVEMENT GRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To fund, wholly or partially, projects which will improve and facilitate scholarly access to significant documentary resources in order to contribute to greater knowledge and understanding of the humanities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants support basic expenses of projects designed to organize and describe nationally and regionally significant library and archival collections of all types, including non-print materials, to prepare guides, bibliographies, and indices to important research materials located in a number of repositories, and to improve collections by collecting resources not yet deposited in a repository and copying documents in foreign repositories not available in the United States. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel and per diem. Acquisition by purchase is not supported. Projects to organize the contemporary records of State and local governments and the papers of contemporary public officials are not supported.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions are eligible. Foreign institutions or organizations are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization or a resident within the U.S. for three consecutive years prior to the time of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Ciruclar No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** To determine eligibility and competitiveness, brief descriptions of proposed projects should be submitted prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to Research Resources, Division of Research Programs, MS 350, National Endowment for the Humanities, Washington, DC 20506. Applicants who are entities of State and local government must use the standard application forms as furnished by NEH and required by OMB Circular No. A-102. This program is subject to the provisions of OMB Circular No. A-110. Guidelines for the program will be sent upon request.

**Award Procedure:** Applications are reviewed by library and archival professionals, by experts in the subject area, and by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency.

**Deadlines:** Yearly, on June 1. Write to Research Resources Program, address below, for specific information.

**Range of Approval/Disapproval Time:** Approximately nine months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is generally required at a minimum level of 40 percent of total project costs for projects dealing with the collections of the applicants institution and 20 percent for all others.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required annually or semiannually. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $3,932,000; FY 82 est $3,000,000; and FY 83 est $3,000,000.

**Range and Average of Financial Assistance:** $1,500 to $150,000; $65,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, 156 applications were received and 52 awards were made. During fiscal year 1983, approximately 180 applications will be received and about 50 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, General Information brochure and Guidelines for the Research Resources Program are available upon request from National Endowment for the Humanities, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Research Resources Programs, Division of Research Programs, MS 350, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0341.

**RELATED PROGRAMS:** 45.140, Promotion of the Humanities—Basic Research; 45.141, Promotion of the Humanities—State, Local, and Regional Studies; 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works.

**EXAMPLES OF FUNDED PROJECTS:** (1) An award to a state historical society to support the organization and description of its unprocessed backlog or manuscript collections in order to prepare a comprehensive guide to the materials, including descriptive analyses of all collections. (2) An award to a university museum to support the organization and preservation of its archives which include the records of anthropological research and expeditions over the past 100 years. (3) An award to a university research center to send a camera team to Indonesia to microfilm Medieval Javanese Manuscripts in order to preserve and make available to American scholars texts which would otherwise be inaccessible. (4) An award to a national professional association to support the preparation of the three most recent volumes of its annual bibliography covering monographic and journal literature. (5) An award to a university professor to support completion of a guide to American archival and manuscript sources relating to Asia and Oceania.

**CRITERIA FOR SELECTING PROPOSALS:** The basic criteria used to determine funding priorities include the potential research use of the collection by advanced scholars in the humanities, the immediacy of the need to make the material accessible for such research, the training and experience of the staff, the soundness of the workplan, and the commitment and ability of the sponsoring institution to provide substantial support for the project both during the grant period and thereafter.

## 45.125 PROMOTION OF THE HUMANITIES—HUMANITIES PROJECTS IN MUSEUMS AND HISTORICAL ORGANIZATIONS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209, as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To assist museums, historical organizations and other similar cultural institutions to implement effective and imaginative programs which use material culture to convey and interpret the humanities to the general adult, out-of-school public.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Planning and implementation support is available in the following categories: (a) self study - for an institution to assess its potential for public humanities programming using its collections, print materials and educational services; (b) permanent interpretive projects - to mount long-term interpretive exhibits using the institution's permanent collection; (c) sharing collection resources - to allow institutions with extensive underutilized holdings to share those objects with other institutions for use in exhibitions based on humanities themes; (d) temporary interpretive projects - for short-term projects, usually traveling exhibitions featuring borrowed objects; and (e) enhancement of interpretive skills for regional and national seminars, workshops and conferences to strengthen the capacity of museum professionals to develop public interpretive projects.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments and nonprofit museums, historical organizations, historic sites, zoos, planetaria, botanical gardens and other institutions capable of implementing public programs in the humanities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certificate of tax-exempt status may be required. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants are encouraged to submit a preliminary draft of a few pages eight weeks in advance of the application deadline detailing subject matter, purpose, audience, presentation methods, personnel involved and rough cost estimate to headquarters office listed below. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms and guidelines are available upon request. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area including panels of humanities scholars, professionals in museums, historical organizations, and other cultural institutions, and other representatives of the general public. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency.

**Deadlines:** Please contact NEH office for further information.

**Range of Approval/Disapproval Time:** Variable; average six months after deadline.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewals are strongly discouraged, but may be granted, and are processed as a new application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing, according to the grantee institution's capacity may be required.

**Length and Time Phasing of Assistance:** Grants are usually one year or less in duration although longer projects are eligible. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment.

**Records:** To be retained by grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $9,425,000; FY 82 est $6,912,000; and FY 83 est $3,600,000.

**Range and Average of Financial Assistance:** Self-study: up to $10,000; planning for temporary and permanent exhibitions up to $15,000; implementation of permanent interpretive projects: $10,000-$75,000; implementation of temporary interpretive projects: $10,000-$65,000; implementation of sharing collection resources projects: $10,000-$70,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 167 grants were awarded to museums, historical organizations, and other cultural institutions for a variety of interpretive programs; 418 applicatons were received. To date in fiscal year 1982, the program awarded 61 grants and received 185 applications. The program projects awarding an additional 55 grants in fiscal year 1982 from an anticipated 165 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Humanities Projects Guidelines, and a list of grants made in fiscal years 1979, 1980 and 1981, available upon request from the National Endowment for the Humanities, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Cheryl McClenney, Humanities Projects in Museums and Historical Organizations, Division of Public Programs, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0327.

**RELATED PROGRAMS:** 45.104, Promotion of the Humanities—Media Humanities Projects; 45.137, Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries; 60.007, Museums—Assistance and Advice; 60.013, Smithsonian Institution Traveling Exhibition Service.

**EXAMPLES OF FUNDED PROJECTS:** (1) The Afro-American Cultural Foundation received support to conduct a self study assessing the institution's ongoing programs in black history, and to evaluate its future plans and goals for public humanities programs. (2) The Western Museum of Mining and Industry received funds to implement a permanent exhibition interpreting the impact of hard rock mining technology on the society and environment of Colorado in the late 19th and early 20th centuries. The project, which includes the exhibition, a narrative slide show and graphic materials focuses on how the lives of men and women who settled in the West's mining districts were affected by diverse cultural backgrounds, working and living conditions, wages and unionization, and politics. (3) The Peabody Museum of Harvard University received funds to prepare 1,200 artifacts from its vast archaeological and ethnological collection for loan to arts, history, science and general museums across the country. To date, nine museums have participated in the collections-sharing program, a project begun with NEH planning support in fiscal year 1978. (4) The Maxwell Museum of Anthropology of the University of New Mexico received support to implement a traveling exhibition introducing the prehistoric architecture and artifacts of Chaco canyon to the general public. The exhibition relates the story of a complex pre-European society which existed in the area that is now the continental United States. (5) The Association of Science-Technology Centers received funds to implement a traveling exhibition on the social impact of microelectronics. The exhibition will travel to nine museums across the U.S. and provide its audiences with direct, interactive experience with microelectronic devices; interpretation of their nature and functions; and insight into how they may affect American social institutions and personal life.

**CRITERIA FOR SELECTING PROPOSALS:** Proposed projects must: interpret the humanities as the central concern; present concepts which are clear, logically stated and reflect current scholarship; use material culture to convey these ideas in the humanities; be directed toward an adult, out-of-school population; describe in detail the exhibition and/or public offerings; provide a specific work plan; demonstrate direct cooperation between qualified experts in the humanities and in the museums and historical organizations; indicate what their roles will be in the project; and have a realistic budget.

## 45.127 PROMOTION OF THE HUMANITIES—ELEMENTARY AND SECONDARY EDUCATION PROGRAM

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To improve curriculum and classroom teaching in history, foreign languages, English and other disciplines in the humanities by supporting elementary and secondary school demonstration projects that can be completed within a specified period of time. Most projects are planned and implemented by groups of school and/or university faculty, last one to two years, and are concerned with the design of model courses or programs, teacher training institutes, or the development of curricular materials and accompanying in-service education of faculty. Projects often involve increased collaboration between schools, higher education institutions, and cultural institutions. The program particularly seeks projects that show high promise of serving as models for other institutions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used to conduct demonstration projects in humanities education; strengthen the teaching of the humanities in school systems; hold teacher training institutes; develop curriculum programs and materials; and plan and conduct, curricular reform in humanities disciplines. Funds are not available for on-going work, construction costs, library acquisitions, educational research, production costs of books or journals, nor for equipment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Schools, school systems, higher education institutions, and other nonprofit educational, cultural and professional organizations; State and local governments.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status is required. Costs will be determined in accordance with OMB Circular No. A-87 for entities of State and local government. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with headquarters office, followed by submission of preliminary draft, is urged. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submission to headquarters office of a proposal accompanied by an application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by panels of scholars, teachers and other educators. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:** April 1 and October 15.

**Range of Approval/Disapproval Time:** Approximately five months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Applications for renewal are discouraged and in any case must compete against new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is required, with the Endowment contributing no more than 90 percent of the costs. In teacher institutes, cost-sharing of 20 percent is required.

**Length and Time Phasing of Assistance:** Generally from one to two years. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least semi-annually. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** Final audits may be made at the direction of the Chairman of the Endowment for up to 3 years after the grant period. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems must be retained for up to three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $4,570,000; FY 82 est $4,704,000; and FY 83 est $3,050,000.

**Range and Average of Financial Assistance:** Range $1,000 to $500,000; Average $70,000. Few are above $100,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 292 applications for grants were received; 84 grants were made, affecting directly an estimated 800 institutions, 2,000 teachers, and 180,000 students, with larger indirect effects. In fiscal year 1982, it is estimated that a similar number of grants will be made, but awards will be smaller. In fiscal year 1983, it is expected that fewer grants will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Fiscal Report (fiscal year 1981). Available from Superintendent of Documents, Government Printing Office, Washington, DC 20402; National Endowment for the Humanities Education Programs Guidelines available on request from National Endowment for the Humanities, MS 200 Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Francis Roberts, Assistant Director, Division of Education Programs, National Endowment for the Humanities, MS 202, Washington, DC 20506. Telephone: (202) 724-0373. Endowment staff should be sent preliminary applications at least ten weeks in advance of final application deadline for eligiblity review.

**RELATED PROGRAMS:** 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.121, Promotion of the Humanities—Summer Stipends; 45.138, Promotion of the Humanities—Education Pilot Grants; 45.139, Promotion of the Humanities—Education Implementation Grants.

**EXAMPLES OF FUNDED PROJECTS:** (1) An award to the Consolidated School District of Burr Ridge, Illinois to develop and put in place a model foreign language curriculum in Spanish. (2) A grant to South Dakota State University to offer a Summer Institute for teachers of drama and English. (3) An award to the American Political Science Association to prepare and disseminate a source book on the teaching of the U.S. Constitution. (4) An award to Hollins College in Virginia to support Extended Teacher

Institutes for elementary and secondary teachers in history, languages, literature and other aspects of the humanities.

**CRITERIA FOR SELECTING PROPOSALS:** Proposals are read and evaluated on their promise for improving the teaching and learning of the humanities at the elementary and secondary level. Intelligence and imagination in conception, thoroughness in planning, strength of staff, degree of commitment, involvement of practioners, and many other factors are considered.

## 45.128 PROMOTION OF THE HUMANITIES—PLANNING AND ASSESSMENT STUDIES PROGRAM

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To inform NEH's own planning and to be of assistance to other cultural and educational institutions by supporting research and development activities which: (1) gather basic information about conditions in the nation's educational cultural institutions and organizations; (2) articulate problems and suggest potential solutions for pressing policy issues effecting the vitality of the humanities; or (3) result in analytical tools for measuring the vitality of particular sectors or areas of the humanities or that enable key types of humanities groups, institutions, or organizations to assess more effectively their services and programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Assessment studies provide the humanities community, including NEH, with necessary information about needs and available programming.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Entities of State and local government, U.S. citizens and residents, U.S. nonprofit organizations, and public and private academic institutions at all educational levels are eligible. Foreign institutions are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization, or a resident within the U.S. for three consecutive years prior to the time of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required of organizations. For entities of State and local governments, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary inquiry to program office before submission of proposal is essential. OMB Circular No. A-102 applies for this program.

**Application Procedure:** Application forms will be made available if preliminary inquiry indicates basis for an application. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** One annually. February 1 prior to NEH National Council meetings which convene in May.

**Range of Approval/Disapproval Time:** Variable: average four months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Applications for renewal are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Significant cost sharing by applicant institution is expected; 10 percent of grant funds as cost sharing is recommended.

**Length and Time Phasing of Assistance:** Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments" audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants and Contracts) FY 81 $923,000; FY 82 est $730,000; and FY 83 est $500,000.

**Range and Average of Financial Assistance:** $3,000 to $150,000; $50,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 48 applications were received and eighteen planning and assessment studies were initiated. This includes a survey of the status of women in the humanities, the 1981 survey of doctorate recipients, and the Higher Education Panel, a rapid response survey system managed by the American Council on Education. Program emphases for fiscal year 1981 included: analyses of the humanities labor force, funding patterns in the humanities, the financial status of humanities institutions and trends in the demand for and usage of humanities resources. Program priorities for FY 1982 include the use of extant data resources on the humanities labor force and on non-Federal funding patterns in the humanities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement, 1980-81. A guide to the Program and Services of the Evaluation and Assessment Studies Branch; "Planning and Assessment Studies Program."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Arnita Jones, Program Officer, Planning and Assessment Studies, Office of Planning and Policy Assessment, National Endowment for the Humanities, MS 303, Washington, DC 20506. Telephone: (202) 724-0369.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** (1) Development and testing of a keyword thesaurus of research interest for use by higher education institutions and government agencies. (2) A survey of departments in two- and four-year colleges to develop a better understanding of criteria used is selecting new full-time faculty. (3) A conference on forecasting the humanities labor market. (4) An on-going survey system based on a sample of the nation's colleges and universities which is used to gather information on current policy issues. (5) A study designed to provide an analysis of the status of women in various humanities fields.

**CRITERIA FOR SELECTING PROPOSALS:** Planning and Assessment Studies projects should meet the following criteria: (1) clearly relate to important information or policy concerns in the humanities; (2) employ research methods most appropriate to the nature of the inquiry; and (3) provide well-designed dissemination plans that will allow the project's findings to have maximum impact. Priority is given to those projects that effectively exploit available data resources.

## 45.129 PROMOTION OF THE HUMANITIES—STATE PROGRAMS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209, as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To promote local humanities programming through renewable program grants to humanities councils within each of the 50 states, the District of Columbia and Puerto Rico for the purpose of regranting funds to local nonprofit organizations, institutions and groups. Under the provisions of Public Law 96-496, only one entity in each State may receive assistance as the State humanities group to administer this program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used to fund local and statewide humanities projects within the State, subject to guidelines determined by each State humanities council.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Nonprofit citizen councils in the several states which conform to the requirements of 20 U.S.C. 956(f). If the State matches a certain percentage of the Federal grant, the Governor may designate the existing Council as a State agency. The resulting agency becomes an eligible applicant.

**Beneficiary Eligibility:** Public and private nonprofit organizations, institutions, groups and individuals which apply directly to the State humanities council.

**Credentials/Documentation:** Submission of a plan and application from the applicant as outlined in 20 U.S.C. 956(f).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary draft of proposal is requested.

**Application Procedure:** Filing of required plan from applicant and regular application for renewal of State committee funding. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by scholars in the humanities, public representatives, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:** For existing citizen councils, May 1, 1983; for state agencies, September 1, 1983.

**Range of Approval/Disapproval Time:** Variable: average five months after deadline.

**Appeals:** Not applicable.

**Renewals:** Systematic review and renewal expected.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Total matching of grant required.

**Length and Time Phasing of Assistance:** From 12 to 24 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required annually. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-01-503.

**Obligations:** (Grants) FY 81 $23,948,000; FY 82 est $20,329,000; and FY 83 est $13,200,000.

**Range and Average of Financial Assistance:** (FY 81) $318,000 to $811,000.

**PROGRAM ACCOMPLISHMENTS:** A singular achievement of the State Programs has been the establishment, in all 50 states, the District of Columbia and Puerto Rico, of 52 continuing institutions which have succeeded at serving as the link between the humanities and the interests and concerns of the States' citizens. Approximately 26,000 projects, with 10 million active participants, reached 200 million persons through the media and well over 30,000 scholars involved as project workers and council members indicate the wide public support for a program initiated to test means of bringing together scholarship in the humanities and the public. In fiscal year 1981, the programs reached 28 million Americans and involved over 15,000 scholars in the 3,684 regrants it supported. Each state council sets its own guidelines for application categories to respond to the needs and resources in its state.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Overview of Programs for 1982-1983, Program Information for Applicants, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506. Additional information, guidelines and regulations available from office of each State humanities council.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Located in each State. Addresses available from National Endowment for the Humanities.

**Headquarters Office:** Donald Gibson, Acting Director, Division of State Programs, National Endowment for the Humanities, MS 404, Washington, DC 20506. Telephone: (202) 724-0286.

**RELATED PROGRAMS:** 45.104, Promotion of the Humanities—Media Humanities Projects; 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.113, Promotion of the Humanities—Program Development; 45.115, Promotion of the Humanities—Youthgrants; 45.116, Promotion of the Humanities—Summer Seminars for College Teachers; 45.121, Promotion of the Humanities—Summer Stipends; 45.123, Promotion of the Humanities—Consultant Grant Program; 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations; 45.130, Promotion of the Humanities—Challenge Grants Program; 45.133, Promotion of the Humanities—Science, Technology and Human Values; 45.135, Promotion of the Humanities—Youth Projects; 45.138, Promotion of the Humanities—Education Pilot Grants; 45.139, Promotion of the Humanities—Education Implementation Grants; 45.142, Promotion of the Humanities—Fellowships for Independent Study and Research; 45.143, Promotion of the Humanities—Fellowships for College Teachers.

**EXAMPLES OF FUNDED PROJECTS:** (1) "Eighteenth Century Natural Philosophy and Twentieth Century America," a project on the role of natural philosophy in eighteenth century liberal arts education for high school physics teachers and the public in six Virginia communities. Lectures and slide presentations were presented by intellectual historians, followed by eighteenth century electrical experiments and Newton's world view. The project emphasized the relationship of natural philosophy to the classics, rhetoric, philosophy and logic. Scholars also led discussions about the present-day need for an understanding of the inter-relationships between the humanities and the sciences. (2) The California Council for the Humanities sponsored a seminar which examined the ethical and philosophical basis of the social sciences as part of a series of seminars which examined the frontiers of interdisciplinary knowledge in the humanities. Proceedings were selected by the University of California Press for publication under the title "Social Science as Moral Inquiry".

**CRITERIA FOR SELECTING PROPOSALS:** Each state council sets its own guidelines and criteria for assessing proposals, which are widely disseminated within the state. The criteria for state council proposals to NEH are established in The National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. Section 950 and 956.

## 45.130 PROMOTION OF THE HUMANITIES—CHALLENGE GRANTS PROGRAM

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209, as amended; 20 U.S.C. 951 et seq. Arts, Humanities and Cultural Affairs Act of 1976; Public Law 94-462.

**OBJECTIVES:** To provide financial assistance to institutions that store, research, or disseminate the humanities; to broaden the base of financial support by "challenging" institutions to raise three private dollars for every Federal grant dollar; to help secure financial stability in order to maintain existing services and resources.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grant funds are to assist institutions in the improvement of their management and administration, particularly in the area of long-range planning; funds may strengthen the development and fundraising apparatus of an institution, or establish expertise in attracting outside support. Funds may also cover general institutional expenses, retire mortgages and deficits, eliminate debts, build on endowments, provide for capital improvements, hire personnel, and otherwise assist institutions in keeping pace with rising costs. Funds may not be used to support non-humanities institutions or activities; nor can they support humanities "projects" which may be funded under the other regular and competitive NEH programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any nonprofit humanities institution, association or organization is eligible to apply; institutions whose scope encompasses activities outside the humanities (e.g., arts, science, medicine) may apply for a challenge grant to cover the costs of only the humanities component, or that percentage of total institutional cost which can be directly identified with these. Local, county and state governments are eligible to apply on their own behalf or on behalf of nonprofit institutions, associations or organizations within their jurisdictions; individuals and public and private elementary and secondary schools are not eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status is required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required, but preliminary contact is strongly encouraged.

**Application Procedure:** Direct application to Challenge Grant Program, NEH. Application instructions and forms provided by Challenge Grant Office upon receipt of general inquiry; prospective applicants should submit "notice of intent" to apply six weeks prior to application deadline.

**Award Procedure:** Applications are reviewed by staff for eligibility and by outside consultants with knowledge of the kinds of applicant institutions, and expertise in administration, financial and fundraising plans and schedules. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Once a year. Next deadline September 1, 1982. Contact NEH Challenge Grants office for information.

**Range of Approval/Disapproval Time:** Variable: average six-eight months after deadline.

**Appeals:** None, but applicant may reapply with revised proposal.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching by a minimum of three times the grant amount, in new or increased non-Federal contributions.

**Length and Time Phasing of Assistance:** From one to three years. Funds must be expended during the grant period. Federal funds are released as matching amounts are certified to the Endowment and minimum matching requirements are met.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Narrative progress reports are required annually; reports on non-Federal contributions, matching funds raised and sources of giving are required annually. Final progress and contributions reports are due within 90 days after completion or termination of grant support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date of submission of the final progress and contributions report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Direct Payment) FY 81 $24,045,000; FY 82 est $20,736,000; and FY 83 est $15,600,000.

**Range and Average of Financial Assistance:** $2,000 to $1,500,000 over three years; $230,000 average total or $76,000 average per year; 10% of the awards made in FY 1980 were for 3-year totals of $500,000 and above and 35% were for $100,000 or less.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 295 institutions received grant funds. In fiscal year 1982, approximately 213 institutions will receive grant funds. In fiscal year 1983, approximately 220 institutions will receive grant funds. In fiscal year 1981, 122 awards were made out of a total of 285 applications received.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45. CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (FY 1981.) Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, Program Information for Applicants, and Challenge Grant Guidelines, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Tom Kingston, Challenge Grant Program, MS 800, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0267.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** (1) An historical society in Illinois is using its Challenge Grant to establish a development office to broaden its membership base in community support as well as business, corporate and foundation support. The society is also utilizing the grant to partially amortize the accumulated liabilities in its pension and endowment funds. (2) A college in Vermont is using its grant support to provide new strengths in the college's humanities disciplines, particularly in the expansion of Language, English Literature, and History programs and the creation of new endowments. New sources of giving from alumni, friends, foundations and corporations have added to the college's traditional pool of supporters to provide continuing support. (3) A state museum was awarded a grant to raise monies for the development of a museum association. The recently established museum on Tennessee history and culture will now be able to hire a public relations director and provide for needed equipment and storage facilities. (4) An historical library and museum in Delaware received a grant for capital improvements, including new storage facilities for archival research collections and energy conservation measures. Funds will also be used for special self-help and outreach programs, including the increase and consolidation of new sources of financial support, the completion of an operational efficiency study and the expansion of various humanities programs.

**CRITERIA FOR SELECTING PROPOSALS:** Besides meeting the eligibility requirements applications are weighed in four basic areas: (1) Need - Financial need demonstrated in the application. The financial profile makes the case for Challenge Grant support. The institution has carefully assessed its needs against the likely impact an award would make. (2) Financial Goals - It appears that the Challenge Grant will help the institution improve its financial situation over the long run, or achieve financial stability. The extent to which a grant will enable the institution to build a better long-term base of support for its programs and services in the humanities. Expenditures bear a reasonable relation to the institution's present and long-term needs in the humanities. There is a clear relationship between expenditures and humanities programs and resources. There is a reasonable relationship between the grant request and the institution's total budget and operating costs. (3) Program Goals - It appears that a Challenge Grant will significantly strengthen or improve the institution's resources and services in the humanities. An award (or absence of one) will make a great difference in the institution's long-term plans. (4) Fundraising Plan - The proposed fundraising plan must be sound. The fundraising goal must be in reasonable proportion to the past fundraising levels and succcesses. The fundraising plan promises to actually broaden and extend sources of support.

## 45.132 PROMOTION OF THE HUMANITIES—RESEARCH MATERIALS: PUBLICATIONS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To ensure through grants to publishing entities the dissemination of works of scholarly distinction that without support could not be published.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Awards are made to presses to offset deficits incurred in the publication of materials of significance from all fields of the humanities. Although the program was initiated to help ensure the publication of volumes whose preparation had been supported previously by NEH grants, applications will currently be accepted for the support of up to two works per year whose research or preparation was not aided by earlier grants from NEH. Grants are limited to $10,000 per individual volume and no more than $30,000 during a single fiscal year to any publisher. Subventions take into account plant, paper, printing, binding, and overhead costs, but generally exclude royalties paid to authors.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Nonprofit and commercial presses.

**Beneficiary Eligibility:** Same as Applicant Eligibility

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** After individual program guidelines have been received, brief descriptions of proposed projects should be submitted to determine eligibility and competitiveness at least eight weeks prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to Research Materials: Publications, Division of Research Programs, MS 350-M. NEH application instructions provided upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by panels of scholars and publishers. Awards are made by the Chairman of the Endowment upon recommendation by the National Council for the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency as specified in Treasury Circular No. 1082, where grantee is an entity of State or local government.

**Deadlines:** Twice a year, November 1 and May 1. Write to George F. Farr, Jr., Assistant Director for Research Materials, Division of Research Programs, MS-350-M, NEH, Washington, DC, 20506. Telephone: (202) 724-1672.

**Range of Approval/Disapproval Time:** Approximately five months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Publishers of multi-volume series may reapply for different volumes, but renewed funding for the same project would only occur for separate volumes of a multi-volume series.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Press must support all but deficit for which subsidy is requested.

**Length and Time Phasing of Assistance:** On the average, 18 months. Funds released as required, and must be expended during grant period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required annually. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $372,000; FY 82 est $400,000; and FY 83 est $200,000.

**Range and Average of Financial Assistance:** $2,000 to $10,000; $5,000 (per volume).

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, the program expects to receive 150 proposals of which 75 awards may be made. During fiscal year 1983, the program expects to support 36 projects out of a total of 160 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (FY 1981), available from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. NEH Program Announcement and Publications Program Guidelines and application instructions are available upon request from Division of Resarch Programs, National Endowment for the Humanities.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** George F. Farr, Jr., Assistant Director, Division of Research Programs for Research Materials, MS 350-M, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-1672.

**RELATED PROGRAMS:** 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works; 45.146, Promotion of the Humanities—Research Materials/Editions; 45.147, Promotion of the Humanities—Research Materials/Translations; 45.140, Promotion of the Humanities—Basic Research; 45.142, Promotion of the Humanities—Fellowships for Independent Study and Research; 45.143, Promotion of the Humanities—Fellowships for College Teachers.

**EXAMPLES OF FUNDED PROJECTS:** (1) A university press in Tennessee received a subvention grant to make possible the publication of Richard Beale Davis's Intellectual Life in the Colonial South, 1585-1763, which in 1979 was awarded the National Book Award for history. (2) A press in California received assistance in the publication of a facsimile edition of the Shakespeare Quartos at the Huntington library. (3) A press in Minnesota was awarded a grant to help publish a study of Scandinavian accentology by a noted Russian linguist in the United States. (4) A foundation in New York state received a grant to help publish a study of an oratory and residence by the baroque architect Borromini, in Rome. (5) A press in Philadelphia was awarded a grant for the publication of a social history of black immigrants in San Francisco at the turn of the century.

**CRITERIA FOR SELECTING PROPOSALS:** The significance and quality of the finished work; the perceived contribution of the work to knowledge in the humanities; the soundness of the publisher's budget and marketing plan.

## 45.133 PROMOTION OF THE HUMANITIES—SCIENCE, TECHNOLOGY AND HUMAN VALUES

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To support a limited number of projects which will serve as central references in the science-values field, or as models of scientist-humanist collaboration, and to support Inter-disciplinary Incentive Awards (up to 20 annually) to scientists and humanists entering the science-values field, and Sustained Development Awards (up to 5 annually) to scientists and humanists already in the field who will undertake to establish new science-values programs at universities and other institutions.

**TYPES OF ASSISTANCE:** Project Grants (including individual awards).

**USES AND USE RESTRICTIONS:** Most preliminary inquiries are referred for funding consideration by an appropriate divisional program of the Endowment, or by the Ethics and Values in Science and Technology Program of the National Science Foundation (NSF). (Projects approved through the NSF Program are subsequently considered for joint support through the Endowment Program. Approved Individual Awards are jointly supported by NSF and NEH).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Entities of State and local government, U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions are eligible. Foreign institutions are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization, or a resident within the U.S. for 3 consecutive years prior to the time of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required of organizations. For entities of State and local governments, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary inquiry to program office before submission of proposal is essential for project grants. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms will be made available if preliminary inquiry indicates basis for an application. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines for preliminary proposals to be considered for joint NSF/NEH project support are January 2, May 1, and September 1; for formal proposals, deadlines are April 1, August 1, and December 1. For Sustained Development Awards and Interdisciplinary Incentive Awards, the deadline is February 2.

**Range of Approval/Disapproval Time:** Variable: Average four months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Applications for renewal of Project Grants are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Significant cost sharing by applicant institution is encouraged for Project Grants.

**Length and Time Phasing of Assistance:** Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $795,000; FY 82 est $850,000; and FY 83 est $600,000.

**Range and Average of Financial Assistance:** $15,000 to $300,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the program jointly funded 30 projects through the Ethics and Values in Science and Technology (EVIST) program of NSF. The amount of the NEH contribution to these grants was $794,921. For fiscal year 1983, it is anticipated that there will be approximately $600,000 of such joint funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities Sixteenth Annual Report (fiscal year 1981), available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Eric T. Juengst, Program Specialist, Program of Science, Technology and Human Values, National Endowment for the Humanities, MS 104, Washington, DC 20506. Telephone: (202) 724-0354.

**RELATED PROGRAMS:** 45.104, Promotion of the Humanities—Media Humanities Projects; 45.109, Promotion of the Humanities—Fellowships for Journalists; 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.113, Promotion of the Humanities—Program Development; 45.115, Promotion of the Humanities—Youthgrants; 45.116, Promotion of the Humanities—Summer Seminars for College Teachers; 45.121, Promotion of the Humanities—Summer Stipends; 45.122, Promotion of the Humanities—Fellowships at Centers for

Advanced Study; 45.123, Promotion of the Humanities—Consultant Grant Program; 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations; 45.127, Promotion of the Humanities—Elementary and Secondary Education Program; 45.128, Promotion of the Humanities—Planning and Assessment Studies Program; 45.129, Promotion of the Humanities—State Programs; 45.130, Promotion of the Humanities—Challenge Grants Program; 45.132, Promotion of the Humanities—Research Materials: Publications; 45.135, Promotion of the Humanities—Youth Projects; 45.137, Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries; 45.138, Promotion of the Humanities—Education Pilot Grants; 45.139, Promotion of the Humanities—Education Implementation Grants; 45.140, Promotion of the Humanities—Basic Research; 45.141, Promotion of the Humanities—State, Local, and Regional Studies; 45.142, Promotion of the Humanities—Fellowships for Independent Study and Research; 45.143, Promotion of the Humanities—Fellowships for College Teachers; 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works; 45.146, Promotion of the Humanities—Research Materials/Editions; 45.147, Promotion of the Humanities—Research Materials/Translations.

**EXAMPLES OF FUNDED PROJECTS:** Five projects previously jointly funded by NEH through the NSF EVIST program are as follows: (1) A college in Kentucky - To prepare a bibliography on philosophy of technology. (2) A university in Pennsylvania - To conduct a retrospective assessment of policy and value issues involved in the earlier air pollution statutes in the Pittsburgh area. (3) An institute of technology in Illinois - To prepare a bibliography of engineering ethics. (4) A university in Massachusetts - To conduct an epistemological study of the controversy over risks and benefits of Recombinant DNA research. (5) An individual in engineering in Washington, DC to study ethical issues in engineering.

**CRITERIA FOR SELECTING PROPOSALS:** In addition to general criteria on significance of subject matter, soundness of project design, and qualifications of personnel, there is particular emphasis on collaboration of scientists, engineers, and physicians with humanists in fields such as history, literature, philosophy, ethics and jurisprudence, in addressing ethical and value issues related to developments in science, technology and medicine.

## 45.134 PROMOTION OF THE HUMANITIES—RESEARCH CONFERENCES

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To support conferences, symposia, and workshops which enable scholars to discuss and advance the current state of research on a particular topic or to consider directions in which research in a given field should move.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants support the basic costs of symposia, scholarly workshops, or conferences, including released time for principal investigator(s), research/administrative assistance, honoraria, travel, and per diem for invited participants, duplication costs, office supplies, and publicity. Costs of permanent equipment and long-term operating expenses are not allowable; support for post-project, pre-publication costs are acceptable as requests for released time and research/administrative assistance only (see also 45.132, Promotion of the Humanities—Research Publications). The program supports basic research in the humanities that is interdisciplinary, evaluative, interpretive, experimental, comparative, or coordinative. Projects must address research questions or assess research methodologies. Note: This program is differentiated from the Basic Research Program -- 45.140 --in that it encourages and supports conference work, symposia and other workshops which are not included in that program. It seeks thereby to encourage and to support the open discussion and public dissemination of ideas of either a general or specific nature necessary to the understanding and enlargement of one or more humanistic disciplines.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, local governments, and academic institutions are eligible. Foreign institutions or organizations are not eligible, and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization or a resident within the U.S. for 3 consecutive years prior to the time of application.

**Beneficiary Eligibility:** Same as applicant eligibility, except that foreign scholars may have their expenses paid to a conference funded under this program.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary inquiries should be addressed to Program Officer, Research Conferences Program, Division of Research Programs, MS 350, prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to Program Officer, Research Conferences Program, Division of Research Programs, MS 350. Application instructions and guidelines will be provided by the program office upon receipt of initial inquiry. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area and by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities upon recommendation by the National Council on the Humanities (meeting four times per year in November, February, May, and August). Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** February 15 and September 15. Applicant must allow at least six months from time of receipt of formal application prior to meeting of the National Council on the Humanities for necessary independent and/or panel review. Applicants should write or call the Program Officer, Research Conferences Program, Division of Research Programs, Telephone: (202) 724-0276 for clarification of suspense date and review requirements.

**Range of Approval/Disapproval Time:** Six months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are infrequently made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is required at a minimum of 20 percent.

**Length and Time Phasing of Assistance:** Usually from 4 to 12 months. Funds, released as required, must be expended during the grant period (which may begin as early as the first day of the month in which the National Council on the Humanities meets to consider the application).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are not required. Reports of project expenditures are required yearly. Final progress and expenditures reports are required within 90 days after completion or termination of project.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of

Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems and procedures should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $430,000; FY 82 est $405,000; and FY 83 est $300,000.

**Range and Average of Financial Assistance:** $5,200 to $10,000; $8,800. Awards are limited to $10,000 in outright funds.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 51 grants were awarded from 149 applications received. In fiscal year 1982, 34 grants are expected to awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (FY 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Program Announcement and the General Information and General Research Program Guidelines and application instructions are available on request from the National Endowment for the Humanities, 806 15th Street, MS 350, NW, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** John A. Williams, Assistant Director, Division of Research Programs, MS 350, National Endowment for the Humanities, 806 15th Street, NW, Washington, DC 20506. Telephone: (202) 724-0226/0227.

**RELATED PROGRAMS:** 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.113, Promotion of the Humanities—Program Development; 45.140, Promotion of the Humanities—Basic Research; 45.141, Promotion of the Humanities—State, Local, and Regional Studies; 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works.

**EXAMPLES OF FUNDED PROJECTS:** Conferences, symposia and workshops on: (1) Islam and the History of Religions; (2) An International Congress of Verdi Studies; (3) Slavery in the Age of the American Revolution; (4) China's Past Unearthed, the Reconciliation of the New Discoveries and the Records of the Early Imperial Period; and (5) Black Women, an Historical Perspective.

**CRITERIA FOR SELECTING PROPOSALS:** The significance of the topic to be addressed at the conference; the need for collaborative attention to the topic, the potential of the conference to advance research; the substantive organization and practical design of the meeting; and the experience and the ability of the applicant to manage the enterprise.

## 45.135 PROMOTION OF THE HUMANITIES—YOUTH PROJECTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965, Public Law 89-209, as amended, 20 U.S.C. 951 et seq.

**OBJECTIVES:** To support humanities projects which provide educational opportunities beyond those of in-school programs for large groups of young people under the direction of experienced professionals in the humanities and professionals in youth work. These may be sponsored by educational, cultural, scholarly, civic, media or youth organizations.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded for research, education, film, and community projects in one or more of the fields included in the humanities: History, philosophy, language, linquistics, literature, archaeology, jurisprudence, art history and criticism, and the humanistic social sciences. Funds may be used to cover salaries, consultant honoraria, clerical support, travel supplies and materials, and rental of space and equipment. Funds are not awarded for construction, performance or creative work in the arts, or for the general educational or training expenses of individuals.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Entities of State and local governments, and nonprofit U.S. organizations and academic institutions are eligible. Foreign institutions or organizations are not eligible. U.S. citizens and foreign nationals in the U.S. are ineligible unless affiliated with a U.S. institution or organization.

**Beneficiary Eligibility:** Same as Applicant Eligibility, except that NEH Youth Projects are awarded for projects developed and directed by professionals in the humanities and in youth work and aimed at involving large numbers of children and teenagers.

**Credentials/Documentation:** Certification of tax-exempt status may be required of organizations. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For major project grants, a preliminary proposal - outlining the project's content, scope, duration, the number of youth involved, the background and current status of the project's director and a brief budget description - should be submitted at least 6 weeks before the formal application deadline to the headquarters office listed below. Preliminary proposals are not required for smaller grants. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms and proposal guidelines for major project grants will be made available if preliminary draft indicates basis for application. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by a panel of professionals in the humanities and in youth work. Awards are made by the Chairman of the National Endowment for the Humanities, after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Contact Headquarters Office for the next deadline.

**Range of Approval/Disapproval Time:** Variable; Average five months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Grants may be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing requirements: For major project grants, NEH expects to support no more than 50 percent of the total cost of any project. Any exceptions to this requirement must be discussed with Endowment staff before applying.

**Length and Time Phasing of Assistance:** Projects are generally of one year or less duration. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic progress reports are required of all grantees. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by the grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $1,310,000; FY 82 est $1,200,000; and FY 83 est $800,000.

**Range and Average of Financial Assistance:** Awards are made according to size and needs of group conducting projects.

**PROGRAM ACCOMPLISHMENTS:** Three hundred and one applications were received and 74 awards were made in fiscal year 1981. 300 applications are expected and an estimated 75 awards will be made in fiscal year 1982. In fiscal year 1983, the number of applications is estimated at 100 with the awards estimated at 25.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Marion Blakey, Director, Office of Youth Programs, MS 103, National Endowment for the Humanities, MS 103, Washington, DC 20506. Telephone: (202) 724-0396.

**RELATED PROGRAMS:** 45.115, Promotion of the Humanities—Youthgrants.

**EXAMPLES OF FUNDED PROJECTS:** (1) The New Jersey Historical Society received a planning grant to involve youth who are affiliated with the Society's after-school Junior Historians program in researching the history of selected buildings. Each youth will do a case study of a building using archival research, photo documentation and oral history. An on-going program, "Adopt A Building" has now resulted, involving young people throughout the state. (2) The Museum at Michigan State University and the Michigan 4-H Youth Program are collaborating on Folkpatterns, a systematic state-wide effort to explore local traditional cultural patterns in relationship to historical and contemporary trends. Many individual 4-H groups conduct projects which include the collection of local materials by youth for archiving and display. (3) In Madison, Wisconsin, a grant award to the Madison Art Center supports workshops and a travelling exhibition researched and created by youth about the impact of printing and printmaking on society from the Renaissance onward. (4) The Georgia Department of Archives and History in Atlanta, Georgia received a grant to support community youth groups for the research and development of exhibits of photographs documenting an important time in the community's history. (5) Through the National History Day program, teenagers across the nation research and prepare historical papers, projects and presentations on topics in American and world history for competition at district, state and national levels.

**CRITERIA FOR SELECTING PROPOSALS:** NEH Youth Projects applications must fulfull four criteria: offer participatory learning experiences in the humanities; actively involve large numbers of young people at a low cost-per-participant; take place outside formal educational settings; and involve professionals in the humanities and youth work in planning, implementation, and evaluation.

## 45.137 PROMOTION OF THE HUMANITIES— DIVISION OF PUBLIC PROGRAMS, HUMANITIES PROJECTS IN LIBRARIES

**FEDERAL AGENCY:** National Endowment for the Humanities, National Foundation on the Arts and the Humanities.

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To encourage public interest in academic and public libraries' humanities resources and stimulate their use through thematic programs, exhibits, media, publications, and other library activities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Libraries Humanities Projects awards planning and implementation grants for projects that explore ways to spark the public's interest in the humanities resources of academic and public libraries which would stimulate their use through thematic programs, exhibits, media, publications, and other library activities. In addition, the program seeks to enhance the ability of library staff to plan and implement these programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any library or library-related agency serving the adult public may apply. This includes community libraries, county and regional libraries, library systems, independent nonprofit libraries, State libraries, special libraries, library associations, multi-state library organizations, and library schools. Libraries may submit proposals individually or in cooperation with other community organizations. Academic and school libraries are also eligible if the proposed project serves the general adult public as its primary goal.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certificate of tax-exempt status may be required. For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants are encouraged, but not required, to submit a preliminary draft of a few pages giving purpose, audience, subject matter, library resources to be featured, presentation methods, personnel involved, and rough cost estimates to headquarters staff listed below.

**Application Procedure:** Application forms and guidelines are available upon request. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area including panels of scholars, librarians and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency.

**Deadlines:** Please contact NEH office for further information.

**Range of Approval/Disapproval Time:** Approximately six months after deadline.

**Appeals:** None, but applicant may reapply with revised proposal.

**Renewals:** Renewals may be granted and are processed as a new application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Some cost sharing by grantee institution in cash or in-kind is required.

**Length and Time Phasing of Assistance:** Planning grants are usually three to twelve months in duration. Implementation grants are usually one year in duration, although two-year projects are eligible. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** To be retained by grantee for three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $3,393,000; FY 82 $2,650,000; and FY 83 est $500,000.

**Range and Average of Financial Assistance:** Planning grants range from $5,000 to $10,000. Implementation grants range from $20,000 for single library projects to $100,000 for multi-library projects.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 71 applications were received, and of the 42 awards made, 25 were implementation grants which supported humanities programming in 448 separate institutions. During fiscal year 1981, seventy-two requests for grant support were received. Of the 41 awards, 24 were implementation grants which supported humanities programming in 338 institutions. The Library Program encourages cooperation between the applicant libraries and local museums, historical organizations, cultural organizations and universities. 63 applications have been received in fiscal year 1982 and approximately 25 awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR and 1105. Available from the National Endowment for the Humanities, Public Information Office, MS 351, Washington, DC 20506. National Endowment for the Humanities Sixteenth Annual Report (Fiscal Year 1981). Available from Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Assistant Director for Libraries, Humanities Projects, Division of Public Programs, National Endowment for the Humanities, MS 406, Washington, DC 20506. Telephone: (202) 724-0760.

**RELATED PROGRAMS:** 45.115, Promotion of the Humanities—Youthgrants; 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.125 Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations; 45.130, Promotion of the Humanities—Challenge Grants Program.

**EXAMPLES OF FUNDED PROJECTS:** (1) Mountain Plains Library Association: "Country School Legancy: Humanities on the Frontier" - Scholars working with staffs of historical organizations and libraries have developed a film, traveling exhibits, radio programs and a lecture series which will examine the roles of one-room schools in shaping the values and educational experiences of the settlers and present inhabitants of South Dakota, North Dakota, Nevada, Colorado, Kansas, Nebraska, Utah and Wyoming. The 264 institutions hosting the seminars and project materials include rural libraries, academic libraries and large multi-county library systems. (2) The university of Utah is developing a "Classic Theatre Festival," which will present the classics through symposia, lectures, panel discussions, displays and exhibits, and productions from Greek drama. Public libraries in six large cities have been invited to host the national humanities touring company, which includes scholars from the academic fields of comparative literature, modern languages, classics, theatre and theatre history, and literature, as well as actors and curators. Librarians in the six cities are compiling bibliographies and reading lists to introduce participants to the collection of classics in the libraries. (3) The Library of the Central Agency for Jewish Education (Miami, Florida) produced a "Senior Adult Library Outreach Project", which created a bilingual reading/lecture/discussion series specifically designed for senior citizens in the Greater Miami area. The primary focus of the series was the shared and compared history between the Jewish and Hispanic cultures represented in Florida. Programs included history lectures, subject related book reports and discussions with leading religious scholars and historians. (4) Rutland Free Library and Vermont Library Association: "Humanities and Public Libraries in Vermont" - Twenty-two rural Vermont libraries are participating in a six-part reading/discussion series with humanities scholars who use 19th-and 20th-century literature as a basis for an examination of cultural and historical origins of Western attitudes towards the roles of women, concepts of marriage, and rural life during the last one hundred years. (5) University of Mid-America: "The Great Plains Experience" - To stimulate public interest in the humanities and increased use of libraries' humanities resources, a series of public programs based on the NEH-funded films "The Great Plains Experience" will examine the effects an environment has on its inhabitants and the specific cultures inhabiting that geograhical area. Nine museums or historical organizations will develop traveling exhibits of artifacts, photographs, or living history which will illustrate seminars in nine library sites around the country.

**CRITERIA FOR SELECTING PROPOSALS:** A grant application is successful to the extent it (a) focuses on the humanities or provides the perspective of the humanities on an issue, theme or topic; (b) includes public participation in project activities and is aimed primarily at an adult out-of-school audience; (c) focuses on the humanities resources of the library with a view to continued and increased use of these resources once the project is completed; (d) includes knowledgeable and appropriate resources people in the planning and implementation of the program such as librarians, subject specialists, technical experts and community representatives; and (e) includes a viable evaluation plan; and (f) demonstrates a significant share of the costs of a project.

## 45.138 PROMOTION OF THE HUMANITIES—EDUCATION PILOT GRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** Pilot Grants are designed to support programs that will strengthen the humanities curriculum and thus effect general institutional changes. Such programs will be pervasive and long-range, rather than specific and of limited duration.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** In Pilot Grants, funds may be used for faculty released time, the employment of consultants, seminars and workshops, library acquisitions related to project goals, and other expenses involved in the testing and implementation of major new curricula in the humanities. Costs of construction, equipment, publication, and student assistance are not covered, nor is the basic support for the continuation of an established program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Two-year and four-year colleges, universities, professional schools, and post-secondary technical schools.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with Headquarters Office followed by submission of preliminary draft is urged.

**Application Procedure:** Submission to Headquarters Office of proposal accompanied by an application Form (NEH-4). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by panels of teachers, scholars and academic administrators. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** April 1 and October 1.

**Range of Approval/Disapproval Time:** Six months.

**Appeals:** None, but applicant may reapply with revised proposal.

**Renewals:** Pilot Grants are not renewable; though Implementation grant application may be made upon completion of a Pilot Grant. See 45.139, Promotion of the Humanities—Education Implementation Grants.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is required. The Endowment ordinarily will contribute no more than 80 percent of the costs for the Pilot Grants.

**Length and Time Phasing of Assistance:** Pilot Grants cover a period of 12 to 24 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at the end of the grant period. Occasionally an interim report will be required. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems must be kept for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,838,000; FY 82 est $2,975,000; and FY 83 est $2,125,000.

**Range and Average of Financial Assistance:** $22,000 to $50,000; $44,500.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 168 applications were received from which approximately 49 awards were made. In fiscal year 1982, 183 applications were received from which 47 awards were made. In fiscal year 1983, 99 applications are anticipated with 47 of them likely to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. National Endowment for Humanities, Education Programs, available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Cleveland Donald, Program Officer, Pilot Grants, Division of Education Programs, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0393.

**RELATED PROGRAMS:** 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.123, Promotion of the Humanities—Consultant Grant Program; 45.127, Promotion of the Humanities— Elementary and Secondary Education Program; 45.139, Promotion of the Humanities—Education Implementation Grants.

**EXAMPLES OF FUNDED PROJECTS:** (1) A small college in Missouri was awarded a grant to introduce five courses, each exploring the theme of time from the perspective of a discipline of the humanities. (2) A university in Boston received funds to pilot six interdisciplinary courses for its archaeological studies program. (3) A midwestern community college was awarded a grant to implement an introductory interdisciplinary course in the humanities, one that would constitute the core of the humanities curriculum. (4) A historically minority school was assisted in the piloting of five new courses in world literature, each an essential component of a completely restructured humanities program. (5) A school of psychology in California received support to implement two humanities courses that would be required of all students in its graduate program and to compile humanities resources useful in psychology seminars and in clinical training and practice.

**CRITERIA FOR SELECTING PROPOSALS:** (1.) Is the program likely to enhance the effectiveness of humanities education at the applicant institution? (2.) Is the program needed at the institution? How wide will its impact be there? Does it reflect a critical re-examination of the existing curriculum? (3.) Is the program realistic, practicable, and carefully planned with regard to the circumstances of the institutions, especially personnel? (4.) Are the provisions for program evaluation adequate and appropriate? (5.) Is the budget reasonable, satisfactory and justifiable? (6.) Is it clear that the program will be supported financially by the institution after the termination of the grant?

## 45.139 PROMOTION OF THE HUMANITIES— EDUCATION IMPLEMENTATION GRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** Implementation Grants are designed to assist in the full-scale development of programs that will strengthen the teaching of the humanities at individual institutions. Such programs will be pervasive and long-range, rather than specific and of limited duration.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** In Implementation Grants, funds may be used for faculty released time, the employment of consultants, seminars and workshops, limited library acquisitions, and other expenses involved in the implementation of major new curricula in the humanities. Costs of construction, equipment, publication, and student assistance are not covered, nor is the basic support for the continuation of an established program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Two-year and four-year colleges, universities, professional schools, and post-secondary technical schools.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of tax-exempt status may be required. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal inquiry with Headquarters Office followed by submission of preliminary drafts ten weeks prior to deadline is urged.

**Application Procedure:** Submission to Headquarters Office accompanied by an application form (NEH-4). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by panels of teachers, scholars, and academic administrators and, in some instances, through site visits to applicant institutions. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** June 1.

**Range of Approval/Disapproval Time:** From six to eight months.

**Appeals:** None, but applicant may reapply with revised proposals.

**Renewals:** Implementation Grants are not renewable, though an Implementation Grant application may be made upon completion of a Pilot Grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is required. The Endowment ordinarily will contribute no more than 80 percent of the costs in the first year of an Implementation Grant. Institutional cost sharing should increase during the period of an Implementation Grant, and the institution should bear 50 percent of the overall costs of implementation.

**Length and Time Phasing of Assistance:** Implementation Grants cover a period of three to five years. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems must be kept for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $4,163,000; FY 82 est $2,160,000; and FY 83 est $2,125,000.

**Range and Average of Financial Assistance:** Implementation Grants: $75,000 to $300,000; $145,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 45 applications have been received and 22 awards were made. In fiscal year 1982, 36 applications were received and 14 awards will be made. In fiscal year 1983, 45 applications are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. National Endowment for the Humanities, Education Programs, available on request from National Endowment for the Humanities, MS 202, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Lyn Maxwell White, Program Officer for Implementation Grants, Division of Education Programs, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0393.

**RELATED PROGRAMS:** 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.123, Promotion of the Humanities—Consultant Grant Program; 45.127, Promotion of the Humanities—Elementary and Secondary Education Program; 45.138, Promotion of the Humanities—Education Pilot Grants.

**EXAMPLES OF FUNDED PROJECTS:** 1) A private university in New York - for the development of courses to meet new graduation requirements for the bachelor's degree. Faculty members from English, history, art history, philosophy, classics and anthropology work together to coordinate departmental offerings in "clusters", and to increase the writing and foreign language emphasis in newly required courses. 2) A community college in California - for the total restructuring of its general education program. 3) A state university in Maryland - for the development of a new BA in modern languages based on a core of courses on the nature of language and communication and the relation of both to broaden social contexts. 4) A four year college in Ohio - for a program in which regional materials will be integrated into a substantial portion of introductory and advanced courses in the humanities. 5) A four year college in Massachusetts - for the implementation of a set of nine comparative culture courses, matched with nine English composition tutorial courses. The courses will meet a Freshman requirement and constitute a basic humanities core curriculum.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Internal coherence of proposed program and evidence of careful planning. (2) Appropriateness for the institution and its students. (3) Widespread faculty and administrative support. (4) Qualifications of the project director and faculty to implement the program. (5) Probable impact on the teaching and learning of the humanities at the institution. (6) Suitable evaluation procedures. (7) Evidence that the institution will be able to support the program financially after the termination of the grant.

## 45.140 PROMOTION OF THE HUMANITIES—BASIC RESEARCH

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To advance basic research that is interpretative in all fields of the humanities. Collaborative, interdisciplinary scholarship involving the efforts of several individuals at the professional, post-doctoral, and assistant levels is encouraged. Foreign and domestic archaeology projects are supported in the program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants support the basic costs of research projects, which may include salaries, travel, supplies, and appropriate research assistance. Projects must address specific research questions or assess research methodologies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions including State colleges and universities, public, private, junior and community colleges, are eligible. Foreign institutions or organizations are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization or a resident within the U.S. for three consecutive years prior to the time of application. State and local governments are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For education institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary inquiries may be made at least six weeks prior to formal application. Written inquiries from two to three pages in length should include a statement of the projects' purpose, a brief description of the methodology to be employed, the plan of the work, the duration of the project, and an estimated budget.

**Application Procedure:** Direct application to Division of Research Programs, National Endowment for the Humanities. Guidelines and application instructions provided by the Division upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by entities of State and local governments.

**Award Procedure:** Applications are reviewed both by experts in the subject area and by panels of research scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** April 1, 1982 (projects may begin after January 1, 1983) for all disciplines except archaeology which has an October 15 deadline (for projects to start after April 1 the following year). Deadline will change to February 1 in 1983.

**Range of Approval/Disapproval Time:** About nine months.

**Appeals:** None, but applicant may reapply with a revised application.

**Renewals:** Renewal grants are infrequently made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is required at a minimum of 20 percent.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** Final audits may be made at the direction of the Chairman of the Endowment for up to three years after termination of grant. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,241,000; FY 82 est $2,500,000; and FY 83 est $1,750,000.

**Range and Average of Financial Assistance:** $5,000 to $300,000; $53,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 173 applications were received and 65 awards were made in support of research in the disciplines of anthropology, archaeology, architectural history, art history, economic history, (United States, Africa, China, France, Germany, Great Britian, Italy, Mexico, the Netherlands, Russia, and Eastern Europe), ethnic studies, ethnography, history linguistics, literature, musicology, music history, political science, religion, and sociology. Through projects in archaeology, the program encourages research on specific historical periods and cultures. Both American and foreign archaeological projects are funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, the General Information brochure, Research Materials Guidelines and application instructions are available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** John A. Williams, Assistant Director, Division of Research Programs, MS 350, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0276.

**RELATED PROGRAMS:** 39.006, National Historical Publications and Records Grants; 45.104, Promotion of the Humanities—Media Humanities Projects; 45.113, Promotion of the Humanities—Program Development; 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.141, Promotion of the Humanities—State, Local, and Regional Studies.

**EXAMPLES OF FUNDED PROJECTS:** (1) Three scholars will write a cultural history of the Sioux and Assiniboine peoples using an innovative combination of anthropological, linguistic and historical methods. Documentary sources, dialectal differentiation and oral tradition will be employed. (2) A study of the art and religion of the Yoruba in Nigeria is being conducted by two scholars from Cleveland State University and Amherst College. The project will focus on art and religion in order to interpret continuity and change in Yoruba culture. (3) Two scholars from the Departments of Philosophy and Psychology of Denison University are developing a naturalistic approach to perception by integrating the theories of the philosopher M. Merleau-Ponty and the psychologist J.J. Gibson. (4) North Carolina State University is coordinating a team of archaeologists and classicists trained in numismatics, epigraphy and Roman military history, who are at work in Jordan investigating a legionary fortress on the Arabian frontier of the Roman Empire. (5) An architectural historian and a cultural anthropologist are studying how urban design was influenced by French colonial policy in the construction of cities in the former French colonies of Vietnam and Morocco.

**CRITERIA FOR SELECTING PROPOSALS:** Due to growing competition for funds, only the most highly rated projects receive support. Emphasis is on the significance of the research project to the advancement of the field. Projects should be well defined and specifically focused.

## 45.141 PROMOTION OF THE HUMANITIES—STATE, LOCAL, AND REGIONAL STUDIES

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To encourage the production of original research and writing relating to the history and customs of the states, regions and communities in the United States drawing upon various disciplines in the humanities such as economics, history, politics, languages and literature, folklore, archaeology, and architectural and art history; to encourage cooperation among scholars and citizens in developing and using the resources of the humanities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants support the basic costs of research projects, which may include salaries, travel, supplies, and appropriate research assistance. Projects must address specific research questions or assess research methodologies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S.citizens and residents, U.S. nonprofit organizations, and academic institutions including state colleges and universities, public, private, junior and community colleges, are eligible. Foreign institutions or organizations are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization or a resident within the U.S. for three consecutive years prior to the time of application. State and local governments are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary inquiries may be made at least six weeks prior to formal application. Written inquiries from two to three pages in length should include a statement of the project's purpose, a brief description of the methodology to be employed, the duration of the project, and an estimated budget.

**Application Procedure:** Direct application to Division of Research Programs, National Endowment for the Humanities. Application instructions provided by the Division upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No.A-102 must be used for this program by entities of State and local governments.

**Award Procedure:** Applications are reviewed by experts in the subject area and by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** March 1, 1982; February 1, 1983.

**Range of Approval/Disapproval Time:** Six months; ten months beginning in 1983.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are infrequently made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is required at a minimum of 20 percent.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds must be released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $1,435,000; FY 82 est $1,000,000; and FY 83 est $300,000.

**Range and Average of Financial Assistance:** $5,000 to $100,000; $39,000.

**PROGRAM ACCOMPLISHMENTS:** Grants in the Program relate historical scholarship and similar basic research to community self-understanding. In fiscal year 1981, 150 applications were received and 36 grants were made. In fiscal year 1982, approximately 22 grants are expected to be made, from roughly 1 out of 5 applications received. Areas receiving support include history, folklore and ethnic studies. Awards have involved the collaborative efforts of scholars and professionals in museum and historical societies or unaffiliated individuals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 4 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, the General Information brochure, Research Materials Guidelines and application instructions are available on request from National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** John A. Williams, Assistant Director, Division of Research Programs, Mail Stop 350, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0276.

**RELATED PROGRAMS:** 39.006, National Historical Publications and Records Grants; 45.104, Promotion of the Humanities—Media Humanities Projects; 45.113, Promotion of the Humanities—Program Development; 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.140, Promotion of the Humanities—Basic Research.

**EXAMPLES OF FUNDED PROJECTS:** (1) An historian at a university in Delaware is studying 20th century urban development in Wilmington, Delaware where a striking contrast exists between the wealth created by American technology and the poverty of minority Americans. (2) Transition from an agricultural to an urban industrial society in five North Carolina communities during the first half of the 20th century is the subject of a grant made to a team of researchers at a university in North Carolina. The project combines oral history, traditional documentary research and the techniques of quantitative history. (3) Indian, Hispanic and Anglo-American folk and fine arts have played an important role in 20th century New Mexico. A study conducted at a university in New Mexico by a team of researchers, including a folklorist and an English professor, will analyze support of the verbal and visual arts from 1933 to 1943 and document products of this support statewide. (4) An aspect of Utah's history, its architecture, is the object of a study conducted by a professor of architectural history at a university in Utah. One of the topics to be addressed is the planned communities of Mormon pioneers. (5) A study is being conducted at a state university on Piney Woods, a private black rural school in south central Mississippi. Answers are being sought to questions such as the significance of the school to the community and its role in recent social change, particularly the Civil Rights Movement.

**CRITERIA FOR SELECTING PROPOSALS:** Due to growing competition for funds, only the most highly rated projects receive support. Emphasis is on the kind and general usefulness of research rather than the interdisciplinary appeal, and specifically focused projects fare the best.

## 45.142 PROMOTION OF THE HUMANITIES—FELLOWSHIPS FOR INDEPENDENT STUDY AND RESEARCH

### (Independent Fellowships)

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et. seq.

**OBJECTIVES:** To provide time for uninterrupted study and research to scholars, teachers and others who can make significant contributions to thought and knowledge in the humanities. The fellowships free successful applicants from the day-to-day responsibilities of teaching and other work for extended periods of uninterrupted, full-time study and research, so that they may enlarge their contributions and continue to develop their capacities as scholars and interpreters of the humanities. While continuing its commitment to the work of established senior scholars, the Endowment also wishes to encourage and sustain the work of younger scholars: people who hold the rank of instructor or assistant professor and people not employed by any academic institution who stand at comparably early stages of their careers.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Fellows may use their awards for work in their own fields or for work in other fields that will help them to understand their own fields better, enlarge their competence, and become more broadly informed. Pedagogical studies, curriculum planning, development of teaching materials, work in the creative arts and studies whose content or methods are not those of the humanities are not eligible for consideration.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applications may come from members of college and university faculties and from others who work in the humanities, from persons with broad interests as well as scholars working in specialties. Although applicants need not have advanced degrees to qualify, they must have completed their professional training before applying. Active candidates for degrees are not eligible, nor are persons seeking support for work leading toward degrees. Applicants should be United States citizens, native residents of U.S. territorial possessions, or foreign nationals who have lived in the United States for at least three years immediately preceding the date of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application forms are available from the headquarters office.

**Award Procedure:** Applications are evaluated by panels of scholars and others competent in the humanities. Awards are made by the

Chairman of the National Endowment for the Humanities upon recommendation of the National Council on the Humanities.

**Deadlines:** June 1, 1982 for academic year 1983-84.

**Range of Approval/Disapproval Time:** About six months.

**Appeals:** None, but applicant may reapply.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Fellowships are held from 6 to 12 months. Stipends are paid in quarterly installments.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A final report is required, covering the results of the work done during the period of the award. If travel is supported, an account of travel expenditures is also required.

**Audits:** As determined necessary by the Endowment.

**Records:** An account of travel expenses will be required if a fellow receives an allowance for this purpose.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,804,000; FY 82 est $3,429,000; and FY 83 est $2,675,000.

**Range and Average of Financial Assistance:** The maximum stipend is $25,000 per year, pro-rated for lesser periods. The average stipend is $19,930.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,314 applications were received for the 145 fellowships awarded. For fiscal year 1982, 126 fellowships are expected to be offered; for fiscal year 1983, approximately 127.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endownment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from the Superintendent of Documents, Government Printing Office Washington, DC 20402. National Endowment for the Humanities Program Announcement, available on request from the National Endowment for the Humanities, MS 351, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** David Coder, Program Officer for Fellowships for Independent Study and Research, Division of Fellowships and Seminars, National Endowment for the Humanities, MS 101, Washington, DC 20506. Telephone: (202) 724-0333.

**RELATED PROGRAMS:** 45.109, Promotion of the Humanities—Fellowships for Journalists; 45.116, Promotion of the Humanities—Summer Seminars for College Teachers; 45.121, Promotion of the Humanities—Summer Stipends; 45.122, Promotion of the Humanities—Fellowships at Centers for Advanced Study; 45.140, Promotion of the Humanities—Basic Research; 45.141. Promotion of the Humanities—State, Local, and Regional Studies; 45.143, Promotion of the Humanities—Fellowships for College Teachers.

**EXAMPLES OF FUNDED PROJECTS:** Fellowships were given for: (1) research on the decline of New England industry during the years 1840-1925; (2) a study of obligations and interest in Thomas Hobbes' moral and political philosophy; (3) a history of the Japanese city, Osaka, covering the period 1600-1900; (4) an investigation into the performing of 19th century Italian opera; and (5) a study of realism in American literature.

**CRITERIA FOR SELECTING PROPOSALS:** (1) The quality, or promise of quality, of the applicant's work; (2) the importance of the proposed study to the applicant's field and to the humanities generally; (3) the conception, definition, and organization of the proposed study; and (4) the likelihood that the applicant will see the study through to completion.

## 45.143 PROMOTION OF THE HUMANITIES—FELLOWSHIPS FOR COLLEGE TEACHERS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et seq.

**OBJECTIVES:** To provide opportunities for college teachers to pursue full-time independent study and research that will enhance their capacities as teachers, scholars or interpreters of the humanities and to enable them to make contributions to knowledge and teaching in the humanities. These fellowships are intended for teachers whose day-to-day responsibilities lie in the teaching of undergraduate students, particularly in two-, four-and five-year colleges and in universities which do not have Ph.D. programs. Predicated upon an equal respect for study and research directed toward scholarly publication and for study and research directed toward teaching, this program is designed to support the whole range of activities, from general study to specialized research, in which college teachers engage in order to advance the understanding of issues in the humanities. Individual applicants may propose whatever kinds of work they judge to be appropriate to their needs and concerns.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Proposals may address the conception and content of applicants' courses, their research interests or issues in the humanities of general interest. Applicants may propose work within their own areas of competence and interest or in some other area which will enable them to understand their own fields better, to extend their competence, and to become more broadly informed. Projects may be concerned with wide-ranging interpretive interests or with work in specialized fields. As proposals are reviewed, the value of a given project is considered in terms of its intended audience, be it college students, other college teachers, other scholars, a wider public or any combination of these. Pedagogical training, curriculum planning, development of teaching materials, work in the creative arts and studies whose content or methods are not humanistic are ineligible for consideration.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants should be teaching in two-, four- or five-year colleges and universities. Faculty members of departments with doctoral programs are not eligible to apply for these fellowships, nor are faculty members of postgraduate professional schools. Although eligible, faculty members of non-Ph.D.-granting departments in institutions which grant the Ph.D. in other fields of the humanities will be given low priority. Retired faculty members of undergraduate institutions are eligible to apply for support in this program. Applicants must have completed their professional training before applying. Active candidates for degrees are not eligible, nor are persons seeking support for work leading toward degrees. Applicants should be U.S. citizens, native residents of U.S. territories, or foreign nationals who have lived in the U.S. for at least three years immediately preceding the date of application.

**Beneficiary Eligibility:** Same as applicant eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application materials are available from the headquarters office, to which applications are submitted.

**Award Procedure:** Applications are reviewed by panels of college and university teachers. Awards are made by the Chairman of the National Endowment for the Humanities upon recommendation by the National Council on the Humanities.

**Deadlines:** June 1, 1982, for academic year 1983-84.

**Range of Approval/Disapproval Time:** About six months.

**Appeals:** None, but applicant may reapply.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Fellowships are held between 6 and 12 months. Stipends are paid in quarterly installments.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A final report is required, describing the activities during tenure, the results of work, and its effects upon the Fellow's teaching. If travel is supported, an account of travel expenditures is also required.

**Audits:** As determined necessary by the Endowment.

**Records:** An account of travel expenses will be required if a Fellow receives an allowance for this purpose.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,924,000; FY 82 est $2,850,000; and FY 83 est $2,675,000.

**Range and Average of Financial Assistance:** The maximum stipend is $25,000, pro-rated for lesser periods; the average stipend is $18,700.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 663 applications were received and 155 fellowships were awarded. For fiscal year 1982, 150 fellowships are expected to be offered; for fiscal year 1983, approximately 122.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105. National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981). Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. National Endowment for the Humanities Program Announcement, available on request from the National Endowment for the Humanities, MS 351 Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Karen Fuglie, Program Officer for Fellowships for College Teachers, Division of Fellowships and Seminars, MS 101, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0333.

**RELATED PROGRAMS:** 45.116, Promotion of the Humanities—Summer Seminars for College Teachers; 45.121, Promotion of the Humanities—Summer Stipends; 45.122, Promotion of the Humanities—Fellowships at Centers for Advanced Study; 45.140, Promotion of the Humanities—Basic Research; 45.141, Promotion of the Humanities—State, Local, and Regional Studies; 45.142, Promotion of the Humanities—Fellowships for Independent Study and Research.

**EXAMPLES OF FUNDED PROJECTS:** Some examples of projects which have been funded in 1981 are: (1) a study of Renaissance plays whose plots "test" women to dramatize the nature and workings of earthly and divine authority; (2) a study of the political consequences of economic interests in Athenian history, 378 to 322 B.C.; (3) a study of the Indian chronicles of Peru, 1570 to 1620, which represented the cultural clash from the Indian viewpoint but which used European sources and argumentation to present the tragedy; (4) a study of the rights of employed engineers to follow their conscience for the public good and safety of the corresponding grounds for employers' authority over their employees; (5) a study of the Georges Gurvitch school of sociology, which supplanted the Durkheimians after 1945 in France.

**CRITERIA FOR SELECTING PROPOSALS:** The quality or the promise of quality of the applicant's work as a teacher, scholar or interpreter of the humanities; the importance of the contribution that the proposed project will make to a field or fields of the humanities or to its audience's understanding of the issues concerned, either directly or through the development of the applicant's knowledge; the conception, definition and organization of the proposed project; and the likelihood that the applicant will see the project through to completion.

## 45.145 PROMOTION OF THE HUMANITIES—RESEARCH MATERIALS/TOOLS AND REFERENCE WORKS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et.seq.

**OBJECTIVES:** To fund, wholly or partially, projects which create reference works and resources important for scholarly research and as cultural documents.

**TYPES OF ASSISTANCE:** Project Grants

**USES AND USE RESTRICTIONS:** The program for research tools and reference works provides grants for the preparation of basic reference works for humanistic research such as atlases, dictionaries, encyclopedias, concordances, linguistic grammars, data bases, descriptive catalogues, and guides. Awards support the basic costs of such projects, including salaries, travel per diem, supplies, and appropriate research assistance. Payment for purchases of major equipment is not allowable.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions including state colleges and universities, public, private, junior and community colleges are eligible. Foreign institutions are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization, or a resident within the U.S. for three consecutive years prior to the time of application. State and local governments are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, cost will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** After individual program guidelines are received, brief descriptions of proposed projects should be submitted to determine eligibility and competitiveness at least eight weeks prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to the Research Materials: Tools and Reference Works, Division of Research Programs, MS 350-M. NEH application instructions provided upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject areas and by panels of scholars and other appropriate individuals. Awards are made by the Chairman of NEH after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency, where grantee is an entity of State or local government.

**Deadlines:** One annual deadline, October 1. For specific information write to George F. Farr, Jr., Assistant Director for Research Materials, Division of Research Programs, MS 350-M, NEH, Washington, DC 20506.

**Range of Approval/Disapproval Time:** Approximately eight months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is generally required at a minimum of 20 percent; for renewal grants, 30 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final narrative and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of

Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,677,000; FY 82 $2,700,000; FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** $2,500 to $150,000; $89,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, the program received 120 proposals and will be able to make 40 awards (including U.S. Newspapers Projects). In fiscal year 1983, estimated applications should total 128; anticipated grants, 33 (also including U.S. Newspapers Projects).

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105, National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. NEH Program Announcement, General Information brochure, Research Materials Guidelines and application instructions are available upon request from NEH.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** George F. Farr, Jr., Assistant Director, Division of Research Programs for Research Materials, MS 350-M, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-1672.

**RELATED PROGRAMS:** 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.132, Promotion of the Humanities—Research Materials: Publications; 45.146, Promotion of the Humanities—Research Materials/Editions; 45.147, Promotion of the Humanities—Research Materials/Translations.

**EXAMPLES OF FUNDED PROJECTS:** (1) A grant was awarded to a university in Alaska for the preparation of scholarly reference dictionaries for ten Alaskan Indian and Eskimo languages to preserve the oral and written culture of these peoples. (2) A grant was made to a school in California to prepare an encyclopedia of the American constitution which will include over 2,000 articles concerning American constitutional history and law. (3) A grant was made to a non-profit institute in Pennsylvania for a new restatement of the foreign relations law of the United States. (4) A grant was made to a university in the state of New York for a catalogue of nineteenth-century urban views which will provide,for the first time, a comprehensive and descriptive reference work on these materials. (5) A grant was made to a university in Mississippi for a concordance to the novels of William Faulkner.

**CRITERIA FOR SELECTING PROPOSALS:** Principal criteria exercised in evaluating applications are the demonstrable need and significance of the project for advanced research in the humanities and as a cultural document, the qualifications of the project's staff for the work to be undertaken, and the excellence and suitability of the project's methodology and plan of work.

## 45.146 PROMOTION OF THE HUMANITIES—RESEARCH MATERIALS/EDITIONS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965: Public Law 89-209 as amended; 20 U.S.C. 951 et. seq.

**OBJECTIVES:** To fund, wholly or partially, projects which create editions of materials important for scholarly research in the humanities and as cultural documents.

**TYPES OF ASSISTANCE:** Project Grants

**USES AND USE RESTRICTIONS:** Grants are made for the preparation of authoritative and annotated editions of materials from all fields of the humanities. Awards support the basic costs of editing projects, including salaries, travel, per diem, supplies, and appropriate research assistance. Payment for purchases of major equipment is not allowable.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions including state colleges and universities, public, private, junior and community colleges are eligible. Foreign institutions are not eligible and foreign nationals are also ineligible unless affiliaated with a U.S. institution or organization, or a resident within the U.S. for three consecutive yeats prior to the time of application. State and local governments are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** After individual program guidelines are received, brief descriptions of proposed projects should be submitted to determine eligibility and competitiveness at least eight weeks prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to Research Materials: Editions, Division of Research Programs, MS 350-M. NEH application instructions provided upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area and by panels of scholars and other appropriate individuals. Awards are made by the chairman of NEH after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency, where grantee is an entity of State or local government.

**Deadlines:** One annual deadline, October 1. Write to George F. Farr, Jr., Assistant Director for Research Materials, Division of Research Programs, MS 350-M, NEH, Washington, DC 20506, for specific information.

**Range of Approval/Disapproval Time:** Approximately eight months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is generally required at a minimum of 20 percent; for renewal grants, 30 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final narrative and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,161,000; FY 82 est $1,900,000; and FY 83 est $1,500,000.

**Range and Average of Financial Assistance:** $2,500 to $150,000; $59,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, 91 applications were received, of which an estimated 25 awards will be made. For fiscal year 1983, the program expects to receive 111 proposals and make 19 grants. Since its inception, the program has funded approximately 250 projects leading to the preparation of printed or microfilm editions in virtually all the major academic disciplines.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105, National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. NEH Program Announcement and General Information Guidelines for the Research Materials Program are application instructions are available upon request from NEH.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** George F. Farr, Jr., Assistant Director, Division of Research Programs for Research Materials, MS 350-M, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-1672.

**RELATED PROGRAMS:** 45.132, Promotion of the Humanities—Research Materials: Publications; 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works; 45.147, Promotion of the Humanities—Research Materials/Translations.

**EXAMPLES OF FUNDED PROJECTS:** (1) A grant was awarded to a university in Vermont for the preparation of an edition of the journals and notebooks of Ralph Waldo Emerson. (2) A grant was made to a university in Connecticut for the creation of an edition of the papers of Frederick Douglass. (3) A grant was awarded to an unaffiliated scholar for the preparation of an edition of the letters and journals of Lord Byron. (4) A grant was made to a university in Illinois for the creation of an edition of the papers of Jane Addams. (5) An award was made to a university in Iowa for the preparation of an edition of medieval English law reports.

**CRITERIA FOR SELECTING PROPOSALS:** Principal criteria exercised in evaluating applications are the demonstrable need and significance of the research materials project for advanced research in the humanities and as a cultural document, the qualifications of the project's staff for the work to be undertaken, and the excellence and suitability of the project's methodology and plan of work.

## 45.147 PROMOTION OF THE HUMANITIES—RESEARCH MATERIALS/TRANSLATIONS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et. seq.

**OBJECTIVES:** To support the translation into English of texts and documents that will make an important contribution to research in the humanities and to greater public awareness of the traditions and achievements of other cultures.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are made for annotated translations of materials relevant to all fields in the humanities. Awards support the basic costs of translation projects, including salaries, travel, per diem, supplies, and appropriate research assistance and consultation. Payment for purchase of major equipment is not allowable.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions including state colleges and universities, public, private, junior and community colleges are eligible. Foreign institutions are not eligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization, or a resident within the U.S. for three consecutive years prior to the time of application. State and local governments are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** After individual program guidelines are received, brief descriptions of proposed projects should be submitted to determine eligibility and competitiveness at least eight weeks prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to Research Materials: Translations Program, Division of Research, MS 350-M. NEH application instructions provided upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area and by panels of scholars and other appropriate individuals. Awards are made by the Chairman of NEH after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency, where grantee is an entity of State or local government.

**Deadlines:** One annual deadline, July 1. Write to George F. Farr, Jr., Assistant Director for Research Materials, Division of Research Programs, MS 350-M, NEH, Washington, DC 20506.

**Range of Approval/Disapproval Time:** Approximately eight months.

**Appeals:** None, but applicant may reapply with revised application.

**Renewals:** Renewal grants are made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is generally required at a minimum of 20 percent; for renewal grants, 30 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final narrative and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of three years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $1,330,000; FY 82 est $1,000,000; and FY 83 est $750,000.

**Range and Average of Financial Assistance:**$2,500 to $30,000; $21,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, 142 submissions were received, of which 51 awards were made. For fiscal year 1983, the program expects approximately 180 proposals and estimates the awarding of 36 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105, National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. NEH Program Announcement, General Information brochure, Research Materials Guidelines and application instructions are available upon request from NEH.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** George F. Farr, Jr., Assistant Director, for Research Materials, Division of Research Programs, MS 350-M, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-1672.

**RELATED PROGRAMS:** 45.132, Promotion of the Humanities—Research Materials: Publications; 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works; 45.146, Promotion of the Humanities—Research Materials/Editions.

**EXAMPLES OF FUNDED PROJECTS:** (1) A university in Kansas was the recipient of an award to translate the T'ang Code, a seventh century, A.D. Chinese criminal code considered the most influential in all of Asia. (2) A non-profit society was awarded a grant for the translation of Russia-American Company Records, 1802, 1817-1867. (3) A university in Missouri was given a grant to translate the memoirs of Ivan Petrunkevich, an eminent figure in the history of Russian liberalism in the 19th century. (4) A university in New York was awarded a grant for an annotated translation of materials concerning Islamic legal practice. (5) A university in Indiana received an award for a translation of Hegel's correspondence.

**CRITERIA FOR SELECTING PROPOSALS:** Principal criteria exercised in evaluating applications are the demonstrable need and significance of the research materials project for advanced research in the humanities and as a cultural document, the qualifications of the project's staff for the work to be undertaken, and the excellence and the suitability of the project's methodology and plan of work. In case of applications for translations, the quality of the sample translation and critical apparatus are considered of first importance in making an award.

## 45.148 PROMOTION OF THE HUMANITIES—INTERCULTURAL RESEARCH PROGRAM

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et.seq.

**OBJECTIVES:** To increase understanding of the traditions, culture, and values of foreign countries as a base for the study of contemporary international affairs and to foster this nation's standing in international scholarship by providing support to American scholars to pursue research abroad in all fields of the humanities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are made to non-profit national organizations to administer programs which provide opportunities for American scholars to pursue research activities abroad, to engage in collaborative projects with their counterparts abroad, and to attend international conferences.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. nonprofit organizations and academic institutions. Foreign institutions are not eligible.

**Beneficiary Eligibility:** U.S. citizens and residents.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with FMC 73-8.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** After receipt of individual program guidelines, brief descriptions of proposed projects should be submitted to determine eligibility and competitiveness at least 8 weeks prior to formal application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Direct application to the Intercultural Research Program, Division of Research Programs, MS 350, NEH. Application instructions are provided upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB Circular No.A-110.

**Award Procedure:** Applications are reviewed by experts in the subject area and by panels of scholars and other appropriate individuals. Awards are made by the Chairman of NEH after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency, where grantee is and entity of State or local government.

**Deadlines:** One annual deadline, February 15. Write to the Division of Research Programs for specific information on The Intercultural Research Program. (See Headquarters Office.)

**Range of Approval/Disapproval Time:** Approximately 5 months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are made and are processed as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing is generally required at a minimum of 20 per cent.

**Length and Time Phasing of Assistance:** Up to 36 months, usually 12 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required at least annually but no more frequently than quarterly. Reports on project expenditures are required quarterly. Final narrative and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102,@ "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of 3 years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $2,994,000; FY 82 est $2,400,000; and FY 83 est $2,300,000.

**Range and Average of Financial Assistance:** $50,000 to $300,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, approximately 425 American scholars pursued their research abroad, undertook collaborative research projects with foreign colleagues, or participated in international conferences as the result of grants made to support the intercultural research grant programs of major organizations such as the American Council of Learned Societies, the International Research and Exchanges Board, the Social Science Research Council, and the Committee on Scholarly Communication with the People's Republic of China.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105, National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. NEH Program Announcement and Division of Research Programs publications available upon request from NEH.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None

**Headquarters Office:** Harold C. Cannon or Marjorie A. Berlincourt, Intercultural Research, MS 350, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0226.

**RELATED PROGRAMS:** 45.140, Promotion of the Humanities—Basic Research.

**EXAMPLES OF FUNDED PROJECTS:** In fiscal year 1981, a grant of outright support and matching funds to the Committee on Scholarly Communication with the People's Republic of China (CSCPRC) provided support for two categories of research exchanges: bilateral working group projects in 1981 and 1982 (the 1981 symposium was on the origins of Shang Civilizations) and a program of short-term exchanges for distinguished scholars. The Endowment's support of the CSCPRC's programs began in January 1977 with a grant for the Senior Scholar Research Programs (consisting of delegations to China). During the period July 1, 1981 to June 30, 1983, NEH funds will have supported two bilateral scholarly symposia and the Distinguished Scholar Exchange Program (9 senior scholars in 1982-83).

**CRITERIA FOR SELECTING PROPOSALS:** Principal criteria exercised in evaluating applications are the demonstrable need and significance of the research activities proposed, the areas of the world in which the research activities are to be carried out, and the qualifications of the organization's staff to administer the program.

## 45.149 PROMOTION OF THE HUMANITIES—RESEARCH RESOURCES-CONSERVATION AND PRESERVATION GRANTS

**FEDERAL AGENCY:** NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209 as amended; 20 U.S.C. 951 et.seq.

**OBJECTIVES:** To fund, wholly or partially, projects which will promote the conservation and preservation of library and archival collections relating to the humanities in the United States.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants support basic expenses of projects to provide professional training for preservation administrators, technicians and curatorial staff in methods of maintaining collections to retard deterioration; model microfilming programs based on "last copy" storage facilities; and regional planning efforts and cooperative programs for the development of field programs, treatment centers, information dissemination and disaster planning. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel and per diem. Conservation or restoration of discrete collections at one institution are not supported.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. citizens and residents, U.S. nonprofit organizations, and academic institutions are eligible. Foreign institutions or organizations are ineligible and foreign nationals are also ineligible unless affiliated with a U.S. institution or organization or a resident within the U.S. for three consecutive years prior to the time of application.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For entities of State and local government, costs will be determined in accordance with OMB Circular No. A-87. For educational institutions, costs will be determined in accordance with FMC 73-8.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** After receiving program guidelines, brief descriptions of proposed projects should be submitted prior to formal application to determine eligibility and competitiveness. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Guidelines for the program will be sent upon request.

**Application Procedure:** Direct application to Research Resources, Division of Research Programs, MS 350. NEH application instructions provided upon receipt of initial inquiry outlining eligible project. This program is subject to the provisions of OMB circular No. A-110.

**Award Procedure:** Applications are reviewed by professional conservators, conservation administrators, library and university administrators, and scholars in the humanities, and by panels of persons with similar skills. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities. Notification of awards as specified in Treasury Circular 1082 must be made to the designated State Central Information Reception Agency when grantee is an entity of State or local govenment.

**Deadlines:** Write to Research Resources Program, address below, for specific information.

**Range of Approval/Disapproval Time:** Approximately nine months.

**Appeals:** None, but applicant may reapply with a revised proposal.

**Renewals:** Renewal grants are processed and awarded in competition with and in the same manner as new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula and Matching Requirements: Cost sharing is generally required at a minmum level of 20 per cent of total project costs.

**Length and Time Phasing of Assistance:** Up to 36 months. Funds must be expended during the grant period. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports are required semiannually. Reports on project expenditures are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:** As determined by the Endowment. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Any and all records and journals required for audit under generally accepted accounting systems should be retained for a period of 3 years from the date of submission of the final expenditures report.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0200-0-1-503.

**Obligations:** (Grants) FY 81 $493,000; FY 82 est $400,000; and FY 83 est $400,000.

**Range and Average of Financial Assistance:** $7,500 to $150,000; $50,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 20 applications were received and 9 awards were made. In fiscal year 1982, 10 applications were received and 4 grants were made. In fiscal year 1983, approximately 15 applications will be received and 5 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1100 and 1105, National Endowment for the Humanities, Sixteenth Annual Report (fiscal year 1981), available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. NEH Program Announcement, General Information brochure, Guidelines for the Research Resources Program and application instructions are available upon request from NEH.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Research Resources Program, Division of Research Programs, MS 350, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 724-0341.

**RELATED PROGRAMS:** 45.124, Promotion of the Humanities—Research Resources—Organization and Improvement Grants; 45.140, Promotion of the Humanities—Basic Research; 45.141, Promotion of the Humanities—State, Local, and Regional Studies; 45.145, Promotion of the Humanities—Research Materials/Tools and Reference Works.

**EXAMPLES OF FUNDED PROJECTS:** (1) An award to a national archival association to conduct workshops on the preservation of photographs. (2) An award to a library school to initiate the first professional training program in the U.S. to produce certified paper conservators and conservation administrators for libraries and archival institutions. (3) An award to a regional conservation center to support the development of a field service program to survey the conservation needs and problems of historical societies, university, college and public libraries, museums and other institutions holding documentary collections. (4) An award to assist in the preparation for publication of the conclusions reached by a research project to evaluate new preservation methods for 19th century photographic prints. (5) An award to establish state-wide conservation and preservation services through a state historical society.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria used to determine funding priorities include the extent to which a project will contribute to a national effort to save endangered documentary resources for the use of scholars in the humanities, the training and experience of the staff, the soundness of the workplan, and the commitment and ability of the sponsoring institution or organization to provide substantial support for the project both during the grant period and thereafter.

# FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES

## 45.201 ARTS AND ARTIFACTS INDEMNITY

**FEDERAL AGENCY:** FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:** Arts and Artifacts Indemnity Act of 1975, Public Law 94-158, as amended, Public Law 96-496.

**OBJECTIVES:** To provide for indemnification against loss or damage for eligible art works, artifacts and objects 1) when borrowed from abroad on exhibition in the U.S., and 2) from the U.S. for exhibition abroad when there is an exchange exhibition from a foreign country.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Certificates of Indemnity will be issued for the following items insuring them against loss or damage: 1) works of art, including tapestries, paintings, sculpture, folk art, graphics, and craft arts; 2) manuscripts, rare documents, books, and other printed or published materials; 3) other artifacts or objects; and 4) photographs, motion pictures, or audio and video tape; which are of educational, cultural, historical or scientific value; and, the exhibition of which is certified by the Secretary of State to be in the national interest. Restrictions: No indemnity agreement for a single exhibition shall exceed $50 million. There is a $15,000 deductible for exhibitions of up to $2 million in value; a $25,000 deductible for exhibitions of $2 million to $10 million in value; and a $50,000 deductible for exhibitions above $10 million. The total amount of indemnities which can be outstanding at any one time is $400 million.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federal, State and local government entities, nonprofit agencies, institutions and individuals may apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Assistance is available from the Museum Program, National Endowment for the Arts, Washington, DC 20506.

**Application Procedure:** Applicants should request guidelines and application forms from: The Museum Program, National Endowment for the Arts, Washington, DC 20506.

**Award Procedure:** The Federal Council on the Arts and the Humanities makes final decisions on all awards based on recommendations from consulting panels of professionals in the field.

**Deadlines:** April 1 and October 1 of each year.

**Range of Approval/Disapproval Time:** Dependent on meetings of the Federal Council on the Arts and the Humanities; approximately three months.

**Appeals:** None.

**Renewals:** Requests for extensions and renewals must compete against new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Coverage does not include the first $15,000, $25,000 or $50,000 based on the deductible formula for the value of an exhibition; the applicant must assume the deductible for the exhibition.

**Length and Time Phasing of Assistance:** As required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports of loss or damage at termination of exhibit.

**Audits:** Final audits may be made at the discretion of the Federal Council on the Arts and the Humanities for up to three years after the termination of the indemnity time period. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Applicants are responsible for complete packing, shipping, security and condition reports on all indemnified items.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0100-0-1-503.

**Obligations:** (Salaries and Expenses) FY 81 $50,000; FY 82 est $60,000; and FY 83 est not available.

**Range and Average of Financial Assistance:** Coverage: $500,000 to $50,000,000.

**PROGRAM ACCOMPLISHMENTS:** Twenty (20) Certificates of Indemnity were issued in fiscal year 1981 for 20 exhibitions obligating $235 million out of a $400 million ceiling.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations and guidelines available from: Museum Program, National Endowment for the Arts, Washington, DC 20506.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Director, Museum Program, National Endowment for the Arts, Washington, DC 20506. Telephone: (202) 634-6164 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not available.

**CRITERIA FOR SELECTING PROPOSALS:** Not available.

## 45.301 INSTITUTE OF MUSEUM SERVICES

**FEDERAL AGENCY:** NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES, INSTITUTE OF MUSEUM SERVICES

**AUTHORIZATION:** Title II of the Arts and Humanities Act of 1980, Public Law 94-462.

**OBJECTIVES:** To help ease the increased costs borne by museums as a result of their increasing use by the public; to encourage and assist museums in their educational and conservation roles; to assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** The Institute of Museum Services (IMS) provides grants to museums. For fiscal year 1981, approximately 5 percent of the funds available were awarded for special projects Priority was given to museums which have been in existence and serving the public for a minimum of 2 years and to museums which operate exhibit facilities. The remainder of the funds were provided to museums for general operating expenses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A museum located in the fifty States of the Union, the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands may apply for a grant under the Act. A public or private nonprofit agency, such as a municipality, college, or university, which is responsible for the operation of a museum may apply on behalf of the museum. A museum operated by a department or agency of the Federal Government may apply only to the extent authorized by general principles of law applicable to the receipt of Federal assistance by these departments or agencies. Under the IMS definition, a museum is a public or private nonprofit institution which is organized on a permanent basis for essentially educational or aesthetic purposes and which, using a professional staff, owns or uses tangible objects, whether animate or inanimate, cares for these objects, and exhibits them to the public on a regular basis. A museum must have at least one staff member, paid or unpaid, who devotes his or her time primarily to the acquisition, care or exhibition of objects. The regulation makes clear that the term "museum" includes aquariums and zoological parks; botanical gardens and arboreta; museums relating to art, history, natural history, science and technology, planetariums; and nature centers.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with 34 CFR Part 74.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The application forms as furnished by the Federal agency and required by OMB Circular A-102 must be used for this program.

**Application Procedure:** Proposals are submitted directly to the Department of Education, Application Control Center, Washington, DC 20202 before 12:00 PM January 19, 1982 for fiscal year 1982 awards. These documents must contain a description of the museum including its purposes, programs, collections, audience served and the number and general duties of staff. A financial statement for the museum's most recently completed fiscal year and description of long range plans for program and financial development must also be provided. For special projects, a program description and budget must be submitted. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are reviewed by field reviewers, the National Museum Services Board, and the Director, and by appropriate Department officials as a basis for grants and contracts awarded by IMS to eligible recipients.

**Deadlines:** Program has been proposed for termination by FY 1983.

**Range of Approval/Disapproval Time:** From 4 to 6 months.

**Appeals:** Appeals may be made to the Director of the Institute of Museum Services.

**Renewals:** The IMS may extend particular grants and contracts at the discretion of the Director. It is anticipated that no extensions will be allowed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A museum may receive a grant for up to 50 percent of its approved project costs. In exceptional cases, a museum may receive a grant for an amount in excess of this 50 percent limitation. No more than 20 percent of IMS funds may be used for grants which exceed the 50 percent limitation. In the case of General Operating Support Grants, not more than 10 percent of the museum's operating budget can be funded by IMS.

**Length and Time Phasing of Assistance:** Grants are awarded on a 1 year basis, with phasing of assistance as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The IMS will require periodic progress evaluation reports from grant and contract recipients.

**Audits:** Compliance with Standard Audit Policy.

**Records:** Grant and contract recipients will be required to maintain standard educational and financial records.

**FINANCIAL INFORMATION:**

**Account Identification:** 59-0300-0-1-503.

**Obligations:** (Grants) FY 81 $12,267,000; FY 82 (Administration only) est $643,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Fiscal year 1981 estimate $3,000 to $33,460; $25,000 average.

**PROGRAM ACCOMPLISHMENTS:** There were 572 General Operating Support awards and 14 special project awards and 400 Museum Assessment Grants made in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations were printed in the Federal Register, August 11, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Institute of Museum Services, 330 C Street, S.W., Room 4006, Washington, DC 20202. Telephone: (202) 426-6577. Contact: Program Specialist.

**RELATED PROGRAMS:** 45.012, Promotion of the Arts—Museums; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations; 60.007, Museums—Assistance and Advice.

**EXAMPLES OF FUNDED PROJECTS:** General operating support for an exploratorium, a planetaruim, an art museum and a special project for a maritime museum.

**CRITERIA FOR SELECTING PROPOSALS:** The following criteria apply to the evaluation of all applications for special project support submitted in fiscal year 1979 and succeeding fiscal years. (a) To what extent does the application address a problem which is general to a number of museums but has not been adequately addressed? (b) To what extent does the project represent a model or exemplary approach to the problem addressed? To what extent may this approach, if successful be replicated? (c) What is the quality of the project as measured by: (1) The qualifications and experience of personnel designated to carry it out; (2) The appropriateness of size and scope of the project to achieve productive results; and (3) The reasonableness of estimated cost in relation to anticipated results? (d) How sound is the project, taking into account: (1) The extent to which the objectives of the project are sharply defined, clearly stated and capable of being achieved by the proposed procedures; and (2) The extent to which provision is made for adequate evaluation of the project and for disseminating the results of the project to other interested persons. (e) Does the applicant lack alternative sources of Federal support for the project? The following criteria apply to the evaluation of all applications for General Operating Support: (a) Are the applicant's museum services of high quality? How will their quality be improved or maintained by the general operational support requested? (b) Are the museum's collections and exhibits of high quality and importance? How will the conservation of the collections be enhanced or maintained if the general operational support is granted? (c) How accessible to the public are the museum's services, collections, and exhibits? How accessible will they be if general operating support is granted? (d) To what extent does the museum serve persons who ootherwise have limited access to the type of services which it provides? (e) What is the quality of the financial management of the museum? (f) What is the quality of the museum's long-range plans for financial and program development? (g) How committed to the museum are its users and supporters? Does the museum have a substantial base of nonfederal support? and (h) Has the museum effectively used its IMS funds, if it has received any?

# NATIONAL LABOR RELATIONS BOARD

## 46.001 LABOR-MANAGEMENT RELATIONS (NLRB)

**FEDERAL AGENCY:** NATIONAL LABOR RELATIONS BOARD

**AUTHORIZATION:** Labor Management Relations Act of 1947 as amended by Public Law 86-257, 29 U.S.C. 141 et seq., Public Law 91-375, 39 U.S.C. 1201-1209, Public Law 93-95, 29 U.S.C. 186, and Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183, Public Law 96-245, 29 U.S.C. 161 (4) Public Law 96-593, 29 U.S.C. 169.

**OBJECTIVES:** To avoid or substantially minimize industrial strife affecting interstate commerce by providing orderly and peaceful procedures to protect the rights of employers, employees, labor organizations, and the general public, and to prevent unlawful interference with these rights.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Determines and implements, through secret-ballot elections, the free democratic choice by employees as to whether they wish to be represented by a union in dealing with their employer and, if so, by which union, and (2) prevents and remedies unlawful acts, called unfair labor practices, by either employers or unions or both. NLRB may seek injunctive relief where a labor dispute results in violence, disruption of employment, or disruption of business relations, possibly in violation of the Labor Management Relations Act. The NLRB does not initiate actions or investigations on its own motion. NLRB processes start only when an individual or an organization files an unfair labor practice charge or a petition for an election.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any employer, employee, labor organization, or other person who believes a violation of the Labor Management Relations Act has occurred, or who desires the Board to determine whether a labor organization is to be the choice of employees for purposes of representation, may receive information or assistance. The Act limits the term "employee" to exclude: agricultural laborers; domestic servants; individuals employed by spouse or parent; independent contractors; supervisors (as defined by Act) and individuals employed by an employer subject to Railway Labor Act or any person who is not an employer as defined by the Act. The United states Government, State governments, political subdivisions of U.S. and State governments, government corporations (except the U.S. Postal Service), Federal Reserve Banks and employers subject to Railway Labor Act are ineligible employers.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Charges of unfair labor practices and petitions for determination of representatives are the two principal forms for the purpose of initiating agency action. Such charges and petitions shall be in writing and signed, and either shall be sworn to and filed with the Regional Director for the region in which the unfair labor practice has occurred or in which the proposed or actual bargaining unit exists.

**Award Procedure:** Not applicable.

**Deadlines:** A party alleging a violation of the Labor Management Relations Act must file its charge within six (6) months after incident has occurred. If the filing of a charge was prevented by service with the Armed Forces, the six (6) month limitation is computed from the day of discharge. Deadlines for filing representation petitions vary with the type of petition filed and the representation status of employees sought to be represented. Those wishing to file representation petitions with the Agency should contact the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Charges: If the regional director refuses to issue an unfair labor practice complaint, an appeal may be filed with the general counsel in Washington, DC, within 10 days. Petitions: If the regional director dismisses the representation petition, an appeal may be filed with the Board in Washington, DC within 10 days.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 63-1010-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $117,536,000; FY 82 $115,200,000; and FY 83 est $133,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, about 56,265 cases were received and processed toward a final disposition. Expected intake for fiscal years 1982 and 1983 is 58,235 and 60,273 cases, respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "A Guide to Basic Law and Procedures Under the NLRA" (s/n 031-000-00187-1) $4.25 is available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. "Your Government Conducts an Election on the Job" is available from NLRB Headquarters Office. Each pamphlet is also available in Spanish.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact should be made directly with the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

**Headquarters Office:** Division of Information, National Labor Relations Board, Washington, DC 20570. Telephone: (202)632-4950.

**RELATED PROGRAMS:** 17.100, Labor-Management Relations Services; 17.500, Occupational Safety and Health; 17.600, Mine Health and Safety Grants; 30.001, Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices; 34.001, Labor Mediation and Conciliation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# NATIONAL SCIENCE FOUNDATION

## 47.009 SCIENTIFIC PERSONNEL IMPROVEMENT

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, P.L. 81-507), Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** (1) To provide tangible Federal encouragement to highly talented graduate students for advanced study in the sciences and engineering; (2) to improve the subject matter competence of science and engineering teachers; (3) to identify and encourage talented minority high school students with an aptitude for science and engineering and provide them with improved science learning opportunities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Fellowships provide for stipends and allowances to be paid to the applicant through his or her institution. A fixed cost-of-education allowance is paid directly to the institution. A fellow must remain a full-time student for the duration of the award. Both Graduate and Minority Graduate Research Fellowships are available. Project Grants will provide support for prior year commitments only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants are eligible to apply for support in accordance with requirements and procedures specifically described in program announcements.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, etc.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application forms for graduate fellowships are available from NSF, or from National Research Council Fellowship Office, 2101 Constitution Ave., N.W., Washington, DC 20418. Completed application, including plan of study, is forwarded to the Foundation (address listed below), or to the National Research Council which serves as an advisory body to the Foundation for this program. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals. To assist them, they obtain the advice of scientists and other individuals who are conversant with the field covered by the proposal. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Awards are made on a competitive basis in order of merit to the extent permitted by available funds.

**Deadlines:** See specific program announcement.

**Range of Approval/Disapproval Time:** Three to nine months.

**Appeals:** The Principal Investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** For fellowships, typically 9 to 12 months. Assistance is disbursed on a monthly basis to the institution for allotment to the fellow or trainee.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fellowship starting and termination certificates, issued by the institution, must be submitted to NSF for authorization of stipend payments.

**Audits:** For audit purposes, each starting and termination certificate must be signed by the Scientific Sponsor or an appropriate official of the institution. Under the total audit concept, audit will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Government Organizations, Programs, Activities and Functions.

**Records:** Not applicable to fellowships.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0106-0-1-251.

**Obligations:** (Project grants) FY 81 $33,369,803; FY 82 est $16,800,000; and FY 83 est $15,000,000.

**Range and Average of Financial Assistance:** For fellowships $6,900 stipends, plus $4,000 cost of education allowance.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 7,543 proposals and 4,958 applications for fellowships and traineeships were received; 1,593 fellowships and traineeships and 2,342 other awards were made. In fiscal year 1982, 2,903 applications for fellowships were received; approximately 1,390 are expected to be awarded; in fiscal 1983, approximately the same number will be supported.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Chapter VI; 41 CFR 25. Program announcements (at no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Fellowship Office, National Research Council, 2101 Constitution Ave., N.W., Washington, DC 20814.

**Headquarters Office:** Dr. Douglas Chapin, Staff Associate, Division of Scientific Personnel Improvement, National Science Foundation, 1800 G Street, N.W., Washington, DC 20550. Telephone: (202) 282-7754.

**RELATED PROGRAMS:** None

**EXAMPLES OF FUNDED PROJECTS:** Through one project, 125 minority high school students are engaged in small team projects in mechanical design, solar energy, or electrical engineering. These projects are designed to give them direct experience in applying scientific principles to the solution of engineering problems and first hand information on careers and academic requirements for the study of engineering. In another project, a comprehensive plan to increase the number of Hispanics and Native Americans entering scientific and engineering careers was developed. Based on a state-wide model to be implemented in New Mexico, the plan entails collaborative efforts of the Federal government, the State government (both executive and legislative branches), industries, universities and other educational units, professional societies, and minority organizations. At a particular biology laboratory, faculty and students have participated in research related to the responses of natural ecological systems to perturbations associated with energy development technologies. Such collaborative research experience is intended to enhance undergraduate education and should ultimately improve students' chances of gaining employment with industrial facilities, national laboratories, or other research institutions. In one area, a project has been initiated to educate a group of high school teachers in the chemistry and applications of polymeric materials and to make them aware of the magnitude of the polymer-based industrial activities, so that they may, in turn, stimulate the interest of high school students in the career opportunities that exist in the industrial production and utilization of polymeric materials. Thus, larger numbers of candidates will become available to fill the technical jobs that remain unfilled because of the lack of suitably prepared applicants.

**CRITERIA FOR SELECTING PROPOSALS:** Decisions are based primarily on the scientific and educational merit of the described activities and conformance with the objectives of the program. In the case of applications of substantially equal merit, program and geographic balance are additional decision criteria.

## 47.036 INTERGOVERNMENTAL AND PUBLIC SERVICE SCIENCE AND TECHNOLOGY PROGRAM

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, P.L. 81-507); Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To encourage the integration of scientific and technical resources into policy formulation, administrative management, and operational activities of State and local governments.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for paying costs, such as salaries and wages, expendable equipment and supplies, travel, publication costs, and other direct and indirect costs considered necessary to support technical services, forms of information exchange, and assessments. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the work program activities. Funds may not be used for purposes other than those specified in the proposal.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Regional or national organizations representing units of State (executive or legislative branch) and local governments, special governmental districts, colleges and universities, professional schools, professional societies, nonprofit organizations and institutions, and profit-making organizations including small businesses. Awards may be made also under organizational arrangements that combine two or more of the above.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the project director or principal investigator, the principal official of governmental unit or other organization involved, and an official authorized to commit the organization in business and financial affairs. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An initial inquiry should be made to NSF to determine whether a potential project would qualify for support under the Intergovernmental and Public Service Science and Technology Program. This program is subject to State and areawide clearinghouse review pursuant to procedures in Part I of OMB Circular No. A-95 (Revised); therefore, individual applications are subject to its procedures as well as to applicable State requirements. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** By submission, to the Headquarters Office, of a formal proposal fully documenting the planned project in accordance with program guidelines. Submission of a concept paper and/or preliminary proposal normally precedes that of a formal proposal. Formal proposals, as required by OMB Circular No. A-102, must use SF 424 as cover page and, if applicable, certify compliance with the A-95 consultation and review procedures. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals. To assist them, they generally obtain the advice of selected outside reviewers who are knowledgeable in the field covered by the proposal as well as in governmental management. Proposals are accepted in order of merit to the extent permitted by available funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Clearinghouses which reviewed the proposal will be furnished copies of SF 424 advising them of action taken by NSF.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Three to nine months.

**Appeals:** The project director or principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

**Renewals:** NSF awards two types of grants: 1) Standard Grants, in which NSF agrees to support a specified level of effort for a specified period of time, with no statement of NSF intent to provide additional future support. Proposals for renewal of a standard grant compete with other pending proposals. 2) Continuing Grants, in which NSF agrees to support a specified level of effort for a specified period of time, with a statement of NSF intent to provide additional support of the project, provided funds are available and the results achieved warrant further support. Funding normally is in one-year increments.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Applicants are normally required to share in the cost of the proposed activity.

**Length and Time Phasing of Assistance:** Initial projects are normally for 1 to 2 year periods. Funds awarded must be expended or committted within the project period and may be released to the awardee institution as required upon submission of appropriate forms.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Detailed work plan, quarterly highlight letter and semiannual progress and final reports for each grant. Periodic reviews as necessary in each case. Quarterly Federal Cash Transaction Reports (SF 272) are also required.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project Grants) FY 81 $2,500,000; FY 82 est $500,000; and FY 83 est $500,000.

**Range and Average of Financial Assistance:** $10,000 to $185,000; $50,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 47 awards were made. Approximately 10 awards will be made in fiscal year 1982 and 10 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Chapter VI; 41 CFR 25; NSF Guide to Programs, FY 1982; Grants for Scientific and Engineering Research, NSF 81-79; Abstracts of Publications 1967-1978, Intergovernmental Program Awards Lists: Fiscal Year 1967-1976 and 1977-1981 (all at no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Intergovernmental Science and Technology Program, Division of Intergovernmental Science and Public Service Science and Technology, National Science Foundation, Washington, DC 20550. Telephone: (202) 357-7560.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) Development of Federal Research and Development Processes Responding to State and Local Needs; 2) New England Innovation Group; 3) Applying Science and Technology to Municipal Management; 4) Community Technology Initiatives Program; 5) Strengthening of Model Interstate Scientific and Technical Information Clearinghouse (MISTIC); 6) State Planning and Policy Development Test and Techniques.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Consistency of proposed activities with program objectives. 2) Demonstrated understanding of the problems/issues and/or previous and ongoing related activities. 3) Appropriateness of work plan to meet the objectives of the project. 4) Potential for institutionalization and/or replication of results. 5) Appropriateness of the applicant organization/institution to undertake the project. 6) Qualifications of key project personnel to undertake the proposed work. 7) Reasonableness of budget requests for work proposed.

## 47.041 ENGINEERING GRANTS

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1975, Public Law 81-507); Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To improve understanding of fundamental questions driving engineering research, to strengthen the intrastructure of the U.S. engineering research community and, as appropriate, to focus research in areas relevant to national problems. Areas of research include: Automation, Bioengineering, and Sensing Systems; Electrical and Optical Communications; Computer Engineering; Quantum Electronics, Waves and Beams; Solid-State and Microstructures Engineering: Systems Theory and Operations Research; Science and Technology to Aid the Handicapped; Kinetics, Catalysis, and Reaction Engineering; Chemical and Biochemical Processes; Engineering Energetics; Thermodynamics and Transport Phenomena; Particulate and Multiphase Processes; Separation Processes; Minerals and Primary Materials Processing; Renewable Materials Engineering; Geotechnical Engineering; Structural Mechanics; Water Resources and Environmental Engineering; Earthquake Hazards Mitigation; Fluid Mechanics; Heat Transfer; Solid Mechanics; Mechanical Systems; Production Research; and Interdisciplinary Research.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for paying costs to conduct research or studies, such as salaries and wages, expendable equipment and supplies, travel, publication costs, other direct costs, and indirect costs. Funds may not be used for purposes other than those specified in the award instrument without prior authorization by the Program Director.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private colleges and universities, nonprofit institutions, profit-making institutions including small businesses, and Federal, state, and local government agencies. The greatest percentage of support goes to academic institutions. Grants to individuals are occasionally made.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The proposal must be signed by an official authorized to commit the institution or organization in business and financial affairs, and by the Prinicipal Investigator.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Proposals being directed to any of the Engineering Programs should follow the general instructions and guidelines in the NSF brochure "Grants for Scientific and Engineering Research," NSF 81-79. All proposals are acknowledged. These programs are subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals with the assistance and advice of scientists and engineers who are specialists in the field covered by the proposal, of prospective users of research results when appropriate, and of specialists in other Federal agencies. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None for unsolicited research proposals. For Research Initiation Grants, Research Equiment Programs, and other programs, see applicable announcements.

**Range of Approval/Disapproval Time:** Approximately three to nine months.

**Appeals:** The Principal Investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

**Renewals:** NSF awards the following types of grants: 1) Standard Grants, in which NSF agrees to support a specified level of effort for a specified period of time, with no statement of NSF intent to provide additional future support. Proposals for renewal of a Standard Grant compete with all other pending proposals. 2) Continuing Grants, in which NSF agrees to support a specified level of effort for a specified period of time, with a statement of intent to provide additional support for the project, provided funds are available and the results achieved warrant further support. Funding is normally in one-year increments.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Institutions are required to share in the cost of each research project resulting from an unsolicited proposal by a contribution to any cost element in the project, direct or indirect. Cost sharing does not apply to solicited proposals, or to conferences and symposia, publication, travel, equipment, or logistic support.

**Length and Time Phasing of Assistance:** Normally 6 months to 3 years, occasionally longer. Assistance is disbursed by Letter-of-Credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For multi-year grants, annual technical progress reports are required. Within 90 days after the expiration of a grant, the grantee is required to submit final expenditure information and a final project report (NSF Form 98A). Quarterly Cash Transaction Reports (SF 272) are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions."

**Records:** Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the award was made. Records are subject to inspection during the life of the award and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project Grants) FY 81 $85,000,000; FY 82 $90,800,000; and FY 83 est $99,700,000.

**Range and Average of Financial Assistance:** $1,000 to $1,000,000; $60,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,558 proposals were received and 1,483, awards were made. Approximately 1,500 awards will be made in fiscal year 1982. Approximately 1,520 awards will be made in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Chapter VI; 41 CFR 25; "NSF Guide to Programs 1982"; NSF 81-51; "Grants for Scientific and Engineering Research", NSF 81-79; NSF Grant Policy Manual, NSF 77-47.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** For information and publications: Program Analyst for Communications; Directorate of Engineering; National Science Foundation Room 1110B; 1800 G Street, NW, Washington, DC 20550. Telephone: (202)357-9774.

**RELATED PROGRAMS:** 47.049, Mathematical and Physical Sciences; 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences; 47.051, Biological, Behavioral, and Social Sciences.

**EXAMPLES OF FUNDED PROJECTS:** 1) New computer applications of Very Large Scale Integrated Miroelectronic Circuits: 2) Energy conversion and material processing under high temperatures and/or energy intensive conditions: 3) Roles of land use planning, building codes, engineering standards, hazards insurance, disaster preparedness, and incentives in cost-effective community earthquake hazards mitigation; 4) Influences of surface curvature and injection jet-mainstream interaction on heat transfer to turbine blades; 5) Detection and assessment of flaws in solids through nondestructive evaluation.

**CRITERIA FOR SELECTING PROPOSALS:** One or more of the following criteria may be applicable, depending upon the nature of the proposed work: Investigator's training, past performance record, and established potential for future accomplishment; demonstrated awareness of previous and alternative approaches to the problem; probable adequacy of available or obtainable instrumentation and technical support; probability of research leading to important discoveries or valid, significant improvements or innovations of investigative method; probability that the research can serve as the basis for new inventions or improved technology; identification of an immediate programmatic context and user of anticipated research results.

## 47.049 MATHEMATICAL AND PHYSICAL SCIENCES

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, Public Law 81-507); Reorganization Plan 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To promote the progress of science and thereby ensure the continued scientific strength of the Nation; to increase the store of scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: physics, chemistry, mathematical sciences, materials research, and computer research. Support is also provided for research workshops, symposia and conferences, and for the purchase of scientific equipment.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for paying costs necessary to conduct research or studies, such as salaries and wages, permanent equipment, expendable equipment and supplies, travel, publication costs, other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private colleges and universities, nonprofit, nonacademic research institutions, private profit organizations and unaffiliated scientists under special circumstances. Grants are made on a competitive basis.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the principal investigator(s) and by an official authorized to commit the institution in business and financial affairs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By submission, to the address shown below, of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publication, "Grants for Scientific and Engineering Research," NSF 81-79 and "Guide to Programs FY 1982." This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals generally with the assistance and advice of other qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Mathematical Sciences-Regional Conferences, October 15, 1982; Materials Research Laboratories, July 15, 1982.

**Range of Approval/Disapproval Time:** Six to nine months.

**Appeals:** The principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

**Renewals:** Proposals for renewals, containing the same type of information as the original proposal, should be submitted at least six months before the expiration date of the award. Renewals are treated in competition with all other pending proposals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Institutions are required to share in the cost of each research project. This may be accomplished by a contribution to any cost element, direct or indirect. Cost sharing is not required for awards made solely for symposia, conferences and workshops, publication, education and training, facilities, equipment, or travel. (See NSF Grant Policy Manual, NSF 77-47.)

**Length and Time Phasing of Assistance:** Normally two to three years. Assistance is disbursed by Letter-of Credit or as required

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and/or final reports as required by each grant. Periodic reviews as necessary in each case. Quarterly Federal Cash Transaction Reports (SF 272) are required.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Government Organizations, Programs, Activities and Functions.

**Records:** Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project grants) FY 81 $251,300,000; FY 82 est $267,400,000; and FY 83 $291,900,000.

**Range and Average of Financial Assistance:** $10,000 to $4,200,000; $70,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 5,385 proposals were received and 3,227 awards were made. In fiscal year 1981, approximately 5,500 proposals were received and 3,300 awards were made. In fiscal year 1982, approximately 5,700 proposals will be received and 3,400 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 25; 45 CFR Chapter VI; "NSF Guide to Programs FY 1982"; and "Grants for Scientific and Engineering Research", NSF 81-79 no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Assistant Director, Mathematical and Physical Sciences, National Science Foundation, 1800 G St., NW, Washington, DC 20550. Telephone: (202) 357-9742.

**RELATED PROGRAMS:** 47.041, Engineering Grants; 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences; 47.051, Biological, Behavioral, and Social Sciences. Electric and Storage Systems, Magnetic Fusion.

**EXAMPLES OF FUNDED PROJECTS:** (1) A university in Texas received 24 months funding for "Interconnection Schemes for High Performance Modular Computing Systems." (2) A university in Pennsylvania received 12 months funding for "Critical Phenomena and Phase Transitions." (3) A university in South Carolina received 24 months funding for "Equationial Logic and Other Fragments of First-Order Logic." (4) A university in California received 12 months funding for "Electron-Molecule and Electron-Molecular Ion Scattering Cross sections and Related processes."

**CRITERIA FOR SELECTING PROPOSALS:** The primary consideration is scientific merit, based on the anticipated significance of the research results, the competence of the researchers, and the adequacy of the facilities to be used. The cost of the project is seldom a deciding factor. Priority is given to research that will make an added contribution to science education, including industry-university cooperative research and support at nonprofit organizations directly associated with academic institutions.

## 47.050 ASTRONOMICAL, ATMOSPHERIC, EARTH AND OCEAN SCIENCES

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, Public Law 81-507); Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the Earth's natural environment and of the universe. Activities include encouragement and support of basic research in the astronomical, atmospheric, earth and ocean sciences; and in the biological and physical disciplines in the Antarctic and Arctic. Major objectives include new knowledge of astronomy and atmospheric sciences over the entire spectrum of physical phenomena; a better understanding of the physical and chemical make up the Earth and its geological history; increased insight into the world's oceans, their composition, structure, behavior, and tectonics; and new knowledge of natural phenomena and processes in the Antarctic and Arctic regions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the Earth's natural environment and of the universe. Activities include encouragement and support of basic research in the astronomical, atmospheric, earth and ocean sciences; and in the biological and physical disciplines in the Antarctic and Arctic. Major objectives include new knowledge of astronomy and atmospheric sciences over the entire spectrum of physical phenomena; a better understanding of the physical and chemical make up the Earth and its geological history; increased insight into the world's oceans, their composition, structure, behavior, and tectonics; and new knowledge of natural phenomena and processes in the Antarctic and Arctic regions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private colleges and universities, nonacademic research institutions, private profit organizations and unaffiliated scientists under special circumstances. Grants are made on a competitive basis.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the principal investigator(s), the relevant department head(s), and by an official authorized to commit the institution in business and financial affairs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required, but preliminary discussions with the relevant National Science Foundation program officer are encouraged particularly for projects requiring logistic or facility support or involving coordination with other projects and programs.

**Application Procedure:** By submission, to the address shown below, of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publication, "Grants for Scientific and Engineering Research," NSF 81-79 and "Guide to Programs FY 1982". This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals usually with the assistance and advice of other qualified scientists, and other appropriate persons, who are specialists in the field covered by the proposal. Proposals are accepted in order of merit and program relevance to the extent permitted by available funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines vary depending upon the nature of the program. Write to the address below for specific programs. Deadlines are published also in the NSF Bulletin.

**Range of Approval/Disapproval Time:** Three to nine months.

**Appeals:** The principal investigator whose proposal for support has been declined may request, in writing, and receive from the cognizant program officer the reasons for declination. The applicant may also obtain verbatim copies of reviews of his/her proposals, though not the names of reviewers. If not satisfied, the principal investigator may request the NSF Assistant Director for Astronomical, Atmospheric, Earth and Ocean Sciences to reconsider the declination action. Request for reconsideration must be received within 180 days of the declination letter.

**Renewals:** Standard Grants may be renewed once by amendment of the original grant, provided the cumulative duration does not exceed five years. Proposals for renewal should be submitted six months prior to the expiration of the original grant and should contain the same type of information as the original proposal plus a summary of progress to date, a proposed budget for the ensuing period, and a statement of expenditures to date and existing commitments that will require expenditure of residual funds from the original grant after the requested renewal date. Renewals compete with other proposals for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Institutions are required to share in the cost of each research project. This may be accomplished by a contribution to any cost element, direct or indirect. Cost sharing is not required for awards made solely for symposia, conferences and workshops, publication, education and training, facilities, equipment, ship operations, or travel.

**Length and Time Phasing of Assistance:** Normally one to three years. Assistance is disbursed by Letter-of-Credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress and/or final reports are required for each award. Periodic reviews as necessary in each case. Annual and final fiscal reports are required. Quarterly Federal Cash Transaction Reports (SF 272) are also required.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Government Organizations, Programs, Activities and Functions.

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project grants) FY 81 $174,713,233; FY 82 est $176,240,000; and FY 83 est $173,510,000.

**Range and Average of Financial Assistance:** FY 81, $1,200 to $2,633,449. Average award: FY 81, $79,000; FY 82, $84,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,966 proposals were received and 1,826 awards were made. In fiscal year 1982, approximately 3,200 proposals are anticipated and about 1,744 awards will be made. In FY 83 about 3,445 proposals will be received and approximately 1,784 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 25; 45 CFR Chapter VI; "Guide to Programs 1982" (no charge); "Grants for Scientific and Engineering Research," NSF 81-79 (no charge). Available from: Forms and Publications, National Science Foundation; 1800 G Street, NW, Washington, DC 20550.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Science Foundation; 1800 G Street, NW, Washington, DC 20550. Astronomy: Dr. Laura P. Bautz, Telephone: (202) 357-9488. Atmospheric Sciences: Dr. Eugene W. Bierly, Telephone: (202) 357-9874. Earth Sciences: Dr. P. Robin Brett, Telephone: (202) 357-7958. Ocean Sciences: Dr. Grant Gross, Telephone: (202) 357-9639. Polar Programs: Dr. Edward P. Todd, Telephone: (202) 357-7766.

**RELATED PROGRAMS:** 11.417, Sea Grant Support; 15.804, Water Resources Investigations; 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.051, Biological, Behavioral and Social Sciences; 65.001, Water Resources Planning; 66.500, Environmental Protection, Consolidated Research Grants; 66.501, Air Pollution Control Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** Astronomy: Ionized Gas in Nebulae, Galaxies, and Quasars. Atmospheric Sciences: Lake-Effect Snow Storms. Earth Sciences: Crystal Structure and Crystal Growth. Ocean Sciences: Quantification of Resident Reef

Plankton and Their Role in Coral Reef Food Chains. Polar Sciences: Patterns of Herbivory and Vegetation in Arctic Tundra.

**CRITERIA FOR SELECTING PROPOSALS:** Principal criteria are: 1) probability that the research will lead to important discoveries or valid significant conceptual generalizations within its field or (in the most favorable cases) extending to other fields as well; 2) probability that the research will lead to significant improvements or innovations of investigative method--again with possible extension to other fields of science; 3) the scientist's training, past performance record, and estimated potential for future accomplishment; 4) the scientist's demonstrated awareness of previous and alternative approaches to the problem; and 5) probable adequacy of available or obtainable instrumentation and technical support.

## 47.051 BIOLOGICAL, BEHAVIORAL, AND SOCIAL SCIENCES

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, Public Law 81-507); Reorganiztion Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To promote the progress of science and thereby insure the continued scientific strength of the Nation; to increase the store of scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: physiology, cellular and molecular biology, behavioral and neural sciences, environmental biology, social and economic science, and information science. Support is also provided for research workshops, symposia and conferences, and for the purchase of scientific equipment. In addition, awards are made to improve the quality of doctoral dissertations in behavioral, social, and environmental sciences.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment, expendable equipment and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private colleges and universities, nonprofit, nonacademic research institutions, private profit organizations and unaffiliated scientists under special circumstances. Grants are made on a competitive basis.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the principal investigators(s) and by an official authorized to commit the institution in business and financial affairs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By submission, to the address shown below, of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publications, "Grants for Scientific and Engineering Research," NSF 81-79 and "Guide to Programs FY 1982". This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals generally with the assistance and advice of other qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines and target dates are published in the NSF Bulletin.

**Range of Approval/Disapproval Time:** Five to nine months.

**Appeals:** The principal investigator may request, in writing, that the Foundation reconsider its action in declining any application.

**Renewals:** Proposals for renewal containing the same type of information as the original proposal, should be submitted six to nine months before funding from the current award is expected to be exhausted. Renewals are treated in competition with all other pending proposals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Institutions are required to share in the cost of each research project. This may be accomplished by a contribution to any cost element, direct or indirect. Cost sharing is not required for awards made solely for symposia, conferences and workshops, publication, education and training, facilities, equipment, ship operations, or travel.

**Length and Time Phasing of Assistance:** Up to five years. Assistance is disbursed by Letter-of-Credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress and/or final project reports as required by each grant. A Quarterly Federal Cash Transactions Report is required.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Government Organizations, Programs, Activities and Functions.

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project grants) FY 81 $185,582,539; FY 82 est $176,000,000; and FY 83 $186,700,000.

**Range and Average of Financial Assistance:** FY 80, $400 to $2,172,639; $50,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 3,529 awards were made and 6,672 proposals were received. In fiscal year 1982, 3,200 awards will be made and 7,800 proposals received. In fiscal year 1983, approximately 3,100 awards will be made and 8,000 proposals received.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 25; 45 CFR Chapter VI; "NSF Guide to Programs 1982" (no charge); "Grants for Scientific and Engineering Research," NSF 81-79 (no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Assistant Director, Biological, Behavioral, and Social Sciences, National Science Foundation, 1800 G St. NW, Washington, DC 20550. Telephone: (202) 357-9854.

**RELATED PROGRAMS:** 13.281, Mental Health Research Scientist Development and Research Scientist Awards; 13.337, Biomedical Research Support; 13.371, Biotechnology Research; 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 64.001, Biomedical Research.

**EXAMPLES OF FUNDED PROJECTS:** 1) Role of membrane lipids in Paramecium behavioral mutants. 2) Structure, regulation, and mechanisms of action of mitochondrial enzyme. 3) Neuronal degeneration, regeneration, and plasticity in the olfactory system of mammals. 4) Economic determinants of lifetime earnings. 5) Photosynthetic adaptation of higher plants to ecologically diverse environments.

**CRITERIA FOR SELECTING PROPOSALS:** Principal criteria are: 1) probability that the research will lead to important discoveries or valid, significant conceptual generalizations within its field or (in the most favorable cases) extending to other fields as well; 2) probability that the research will lead to significant improvements or innovations of investigative method--again with possible extension to other fields of science; 3) The scientist's training, past performance record, and estimated potential for future accomplishment; 4) the scientist's demonstrated awareness of previous and alternative approaches to the problem; and 5) probable adequacy of available or obtainable instrumentation and technical support.

## 47.053 SCIENTIFIC, TECHNOLOGICAL, AND INTERNATIONAL AFFAIRS

## (STIA)

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, Public Law 81-507); for Science Information Activities, Executive Order 10900, January 5, 1961, Section 4 (d) (11); Reoganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To link performers of research with users of research; exchange scientific and technical information internationally and facilitate international cooperation; and serve S & T decision-makers and the public by providing policy-oriented data and information. Objectives are pursued through International Cooperative Scientific Activities; programs for Industrial Science and Technological Innovation; Intergovernmental Science and Technology (described separately under 47.038). Policy Research and Analysis; and Science Resources Studies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** International programs provide funds for United States scholars to carry out studies abroad, to conduct research, to engage in joint research projects with foreign counterpart organizations and to support scientific conferences abroad. Travel must be by United States flag carriers. Awards to support cooperative scientific activities and travel in India, and Pakistan using local currencies are available. Other programs, in Industrial Science and Technological Innovation, Policy Research and Analysis, and Science Resources Studies, provide funds which may be used for paying costs necessary to conduct research or studies, such as salaries and wages, permanent equipment, expendable equipment and supplies, travel, publication costs, other direct costs and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the project director or prinicpal investigator is responsible for the execution of the work program activities. For all programs, funds may not be used for purposes other than those specified in the proposal.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private colleges and universities, nonprofit organizations, profit making organizations, including small businesses and professional societies. For International Cooperative Scientific Activities, Government scientific organizations are eligible. Also eligible are individuals on international travel. See program announcements listed below. For Industry/University Cooperative Research, the co-operating institutions must represent bona fide independent operations, as evidenced by absence of interlocking relationships. Collaboration should involve active partcipation by scientific or technical personnel at both the university and the industrial organization in aspects of proposed work.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the project director(s) or principal investigator(s) and official(s) authorized to commit the institution(s) in business and financial matters. A copy of foreign counterpart proposals should accompany U.S. proposals for international bilateral research projects. For individuals on international travel, a copy of an invitation to give a plenary lecture or organize a session should accompany application by official U.S. delegates or invitees.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For international bilateral research programs, proposals should be developed between the two scientists for submission to the implementing agencies in both countries at the same time. Proposals must be cooperative in nature and be approved by implementing agencies in both countries. For other programs, none. For all programs, it is suggested that an initial inquiry be made before a proposal is submitted to determine whether a potential project qualifies for NSF support.

**Application Procedure:** For project support, submission of a formal proposal, signed by an official authorized to commit the institution or organization in financial affairs, fully documenting the planned activity and proposed amount of award. Industry/University Cooperative Research proposals should be directed to the NSF program supporting research in the field or subfield, but it must be identified on the cover page as an industry-university cooperative proposal. All programs are subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** NSF staff members review and evaluate all proposals. To assist them, they usually obtain the advice of scientists who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines are specified in program announcements (see REGULATIONS, GUIDELINES, AND LITERATURE).

**Range of Approval/Disapproval Time:** Four to nine months.

**Appeals:** The project director or principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

**Renewals:** Proposals for renewal of awards, containing the same type of information as the original proposal, should be submitted 6 months before the expiration date of the original award. Renewals are treated in competition with pending proposals. Grants may be renewed one time provided that the cumulative duration does not exceed 5 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For international bilateral research projects, funds are contributed from both countries. Each country assumes responsibility for support of its own participation in the project within its own territory. For other programs, institutions are required to share in the cost of each research project. This may be accomplished by a contribution to any cost element in the project, direct or indirect. Cost sharing does not apply to conferences and symposia, publication, travel, equipment, or logistic support.

**Length and Time Phasing of Assistance:** International programs normally up to 2 years. Other programs, generally one year but may run up to three years as necessary to complete. Assistance is disbursed by Letter-of-Credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual and final fiscal reports are required. Annual, semi-annual, progress or final reports are also required for each grant. For travel grants, a travel report is required. Periodic reviews may be necessary in special cases. Quarterly Federal Cash Transaction Reports (SF 272) are required.

**Audits:** Under the total concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit for Government Organizations, Program Activities and Functions.

**Records:** Grantees are expected to maintain separate records for each award to ensure that funds are used for the general purpose for which the award was made. Records are subject to inspection during the life of the award and for 3 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251; 49-0102-0-1-251.

**Obligations:** (Project Grants) FY 81 $34,646,277; FY 82 est $31,000,000; and FY 83 est $32,200,000. Special foreign currency: FY 81 $3,995,015; FY 82 est $4,600,000; and FY 83 est $2,200,000.

**Range and Average of Financial Assistance:** $1,000 to $2,260,000; $50,000. International travel awards utilizing U.S. owned local foreign currencies average $2,425.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 710 awards were made. In fiscal year 1982, approximately 675 awards will be made. In fiscal year 1983, about 720 awards will be made. In addition, utilizing local foreign currencies, 164 awards were made in fiscal year 1981. In fiscal year 1982, approximately 320 awards will be made utilizing special foreign currencies, and about 130 awards will be made in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Chapter VI; 41 CFR 25, "Guide to Programs FY 1982 and "Grants for Scientific and Engineering Research" (NSF 81-79). For Industrial Science and Technological Innovation, see "Industry/University Cooperative Research Grants" (NSF 80-31); "Small Business Innovation Research Program Solicitation: (NSF 81-85); and "Research Opportunities in 1982 Small Business Innovation Research Program" (NSF 82-5). International Cooperative Scientive Scientific Activities, see NSF 79-52. For Special Foreign Currency Programs, see NSF 75-8. For Policy Research and Analysis, see "Program Announcement for Extramural Research" (NSF 81-82). For Science Resources Studies, see "Programs for the Analysis of Science Resources: Personnel, Funding Impact, and Outputs: (NSF 80-19). (All at no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Assistant Director, Directorate for Scientific, Technological and International Affairs, National Science Foundation, 1800 G St., NW, Washington, DC 20550. Telephone: (202) 357-7631.

**RELATED PROGRAMS:** 11.650, National Technical Information Service; 43.002, Technology Transfer; 47.036, Intergovernmental and Public Service Science and Technology; 82.002, Educational Exchange-University Lecturers (Professors) and Research Scholars.

**EXAMPLES OF FUNDED PROJECTS:** 1) Industrial Science and Technological Innovation: Characterization of Supported Metal Cluster Catalysts; 2) International Programs: An Ecological Study of the Laguna de Terminos (Campeche, Mexico) with Special Reference to Fishery Resources and the Potential Impact of Man; 3) Policy Research and Analysis: Studies of Federally Funded Research and Development, Market Structure, and International Technology Transfer; 4) Science Resources Studies: The Impact of Postschool Investments in Training and Work Experience Upon Earnings Differences Between Male and Female Scientists and Engineers; 5) Special Foreign Currency Program: Special Foreign Currency Award (in Pakistani Currency) for Study of Ecology of the Rhesus Monkey.

**CRITERIA FOR SELECTING PROPOSALS:** In addition to NSF criteria for the selection of research projects noted in the "Guide to Programs, Fiscal Year 1982" (NSF 81-51), criteria relating to individual programs and their objectives appear in the publications listed under "REGULATIONS, GUIDELINES, AND LITERATURE".

## 47.055 TWO-YEAR AND FOUR-YEAR COLLEGE RESEARCH INSTRUMENTATION

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, P.L. 81-507); Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To provide research equipment costing not more than $35,000 to U.S. colleges and universities having substantial undergraduate programs in sciences, mathematics, and/or engineering but granting fewer than 20 Ph.D. degrees annually in those disciplines.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants made to eligible institutions are to be used to purchase specified types of research equipment, to be used by designated investigators and shared with others whenever possible without disturbing the work of the principal investigator(s).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible institutions are those U.S. colleges and universities having substantial undergraduate programs in sciences, mathematics, and/or engineering but granting fewer than 20 Ph.D. degrees annually in those disciplines.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the principal investigator and the appropriate institutional offical authorized to commit the institution in business and financial matters.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Formal proposals, describing the research plans and equipment needed, are submitted to the Foundation's Central Processing Section. Proposals must be prepared in accordance with instructions in the publication "Grants for Scientific and Engineering Research" (NSF 81-79) and Program Announcement NSF 80-97. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are evaluated in the same manner as regular research proposals. Staff members of NSF review and evaluate all proposals, generally with the assistance and advice of other qualified scientists and other relevant persons who are specialists in the field(s) addressed in the proposal. Proposals are supported in order of merit to the limit of available program funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Six to nine months.

**Appeals:** The principal investigator may request, in writing, that the Foundation reconsider its action in declining any application.

**Renewals:** None

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Usually 12 months. Assistance is disbursed by Letter-of-Credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final reports are required for each grant (NSF Form 98A). Quarterly Federal Cash Transaction Reports (SF 272 and SF 272A) are required.

**Audits:** Under the total concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Government Organizations, Programs, Activities and Functions.

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Grants) FY 81 $2,799,426; FY 82 and FY 83 No longer funded as discrete program. Funds provided by applicable research program.

**Range and Average of Financial Assistance:** Maximum per grant: $35,000. Average: Estimated $20,000 per grant.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 189 awards were made. In fiscal year 1981, 141 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** NSF Grant Policy Manual (NSF 77-47); and Grants for Scientific and Engineering Research (NSF 81-79).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Program Director, Two-Year and Four-Year College Research Instrumentation Program, Office of Planning and Resources Management, National Science Foundation, 1800 G Street, NW, Washington, DC 20550. Telephone: (202) 357-7456.

**RELATED PROGRAMS:** 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences; 47.051, Biological, Behavioral, and Social Sciences.

**EXAMPLES OF FUNDED PROJECTS:** 1) A chemist at Mount Holyoke College acquired a refrigerated superspeed centrifuge and other equipment to study photochemical labeling of enzymes. 2) A microbiologist at the University of Southwesten Louisiana acquired vertical laminar flow cabinets to improve safety in her research. 3) A biologist at Grinnell College acquired an ultramicrotome and diamond knife for developmental biology research.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Quality of research proposed. 2) Appropriateness of and degree of need for the proposed equipment. 3) Research record of investigator(s) or, for young investigators, evidence of relevant training.

## 47.057 MINORITY RESEARCH INITIATION

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950 as amended (42 U.S.C. 1861-1875, Public Law 81-507); Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To help minority scientists at any U.S. college or university develop greater research capability and thereby encourage them to compete for research funds from all appropriate sources.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants made to eligible scientists may be used to pay costs necessary to establish active research programs, such as wages and salaries, scientific equipment, expendable equipment and supplies, travel certain publication costs, and other essential costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants must be full-time minority faculty members at any U.S. college or university having academic programs in the sciences and engineering. Applicants must not have received any prior Federal research support as full-time faculty members and must be citizens of the United States or native residents of a possession of the United States, such as American Samoa.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the principal investigator, the appropriate department head, and an institutional official authorized to commit the institution in business and financial matters.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Formal proposals, describing the research project to be initiated, are submitted to the Foundation's Central Processing Section. Proposals must be prepared in accordance with instructions in the publication "Grants for Scientific and Engineering Research" (NSF 81-79). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research initiation proposals are evaluated in the same manner as regular research proposals. Staff members of NSF review and evaluate all proposals, generally with the assistance and advice of specialists in the field(s) addressed in the proposal. Proposals are supported inorder of merit to the limit of available program funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Six to nine months.

**Appeals:** The principal investigator may request, in writing, that the Foundation reconsider its action in delining any proposal application, renewal application, or continuing application.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Usually two to three years. Assistance is disbursed by Letter-of-Credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and/or final reports are required for each grant (NSF Form 98A). Quarterly Federal Cash Transaction Reports (SF 272 and 272A) are required.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Government Organizations, Programs, Activities, and Functions, and for programs covered by A-102, under Attachment P of that Circular.

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project Grants) FY 81 $1,395,000; FY 82 est $1,700,000; and FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** $12,000 to $150,000; $37,000.

**PROGRAM ACCOMPLISHMENTS:** In FY 1981, 19 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** NSF Program Guidelines (NSF 80-42); NSF Grant Policy Manual (NSF 77-47); and Grants for Scientific and Engineering Research (NSF 81-79).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Program Coordinator, Minority in Science Programs, Office of Planning and Resources Management; National Science Foundation; 1800 G Street, N.W., Washington, DC 20550. Telephone (202) 357-7350.

**RELATED PROGRAMS:** 47.041, Engineering; 47.049, Matematical and Physical Sciences; 47.050 Astronomical, Atmospheric, Earth, and Ocean Sciences; 47.051, Biologial, Behavioral, and Social Sciences; 47.055, Two-Year and Four-Year College Research Instrumention.

**EXAMPLES OF FUNDED PROJECTS:** 1) A researcher at a university in Colorado received 36 months funding for a study of "Avian Brood Parasitism." 2) An investigator at a university in the state of Washington received 36 months funding for research on "The Vulnerability of the Brain Growth Spurt: A New Experimental Approach." 3) An investigator at a university in Louisiana received 24 months support for work in "Commutative Banach Algebras." 4) A researcher at a medical college in Tennessee received 36 months funding for investigation of the "Role of DNA Superstructures in Control of Cell Proliferation." 5) A scientist at a university in Puerto Rico received 36 months support for reserach on "Proteases Associated With Mitochondrial Membranes."

**CRITERIA FOR SELECTING PROPOSALS:** Support under this program depends upon the quality of the proposed research and requires a minority principal investigator who has not had any prior Federal research support as a full-time faculty member.

## 47.059 VISITING PROFESSORSHIPS FOR WOMEN IN SCIENCE AND ENGINEERING

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, Public Law 81-507), Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); and miscellaneous other laws codified at 42 U.S.C. 1876-1885d.

**OBJECTIVES:** To encourage the full use of the scientific and technical resources of the nation; to develop and encourage careers for women in science and engineering; to provide greater visibility for women scientists and engineers as full participants in the nation's scientific effort. The hallmark of a visiting professorship is the active participation of the visitor in the research and teaching programs of the host institution in a relationship that is beneficial to both.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be requested to defray any normally allowable project costs, such as salary, travel (including relocation costs for absences of at least one year), and research support. Indirect costs may also be included. Requests for funding for equipment will not normally be approved. Awards must be used at academic institutions in the U.S. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work and teaching obligations. Funds may not be used for purposes other than those specified in the proposal.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Women who hold doctorates in science or engineering fields supported by NSF (or who have equivalent experience) who have independent research experience in academic, industrial or public sectors are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the individual woman applicant. A signed statement must be included from the home institution endorsing the proposed absence. A statement from the host institution endorsing the application is desirable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By submission, to the address shown below, of a formal proposal describing proposed research and teaching activities. Program guidelines are contained in program announcement, "NSF Visiting Professorships for Women in Science and Engineering", NSF 82-6.

**Award Procedure:** Visiting professorship proposals are evaluated in the same manner as regular research proposals. NSF staff members review and evaluate all proposals, generally with the assistnance and advice of specialists in the field(s) addressed in the proposals. Proposals are supported in order of merit to the limit of available program funds. Notification of awards must be made to he designated State Central Information Reception Agency in accordance with Treasury Circurlar 1082.

**Deadlines:** FY 1983 deadlines to be announced.

**Range of Approval/Disapproval Time:** 6 to 9 months.

**Appeals:** The principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Usually one year. Awards for one academic term will be considered. In exceptional circumstances, awards will be considered for periods between twelve and twenty-four months. Support is provided through a fixed amount award to the host institution.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress and final project reports are required by each grant.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines "Standards for Audit of Government Organizations, Programs, Activities and Functions".

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project grants) FY 81 $0; FY 82 est $500,000; and FY 83 est $1,000,000.

**Range and Average of Financial Assistance:** $50,000 to $70,000; $65,000 (estimates).

**PROGRAM ACCOMPLISHMENTS:** New program established in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 25; 45 CFR Chapter VI; "NSF Program Guidelines" (NSF 82-6); NSF Grant Policy Manual (NSF 77-47); Grants for Scientific and Engineering Research (NSF 81-79).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Headquarters Office contact below.

**Headquarters Office:** Program Coordinator, Women in Science Programs, Office of Planning and Resources Management, National Science Foundation, 1800 G Street, N.W., Washington, DC 20550. Telephone: (202) 357-7445.

**RELATED PROGRAMS:** 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Astronomical, Atomspheric, Earth and Ocean Sciences; 47.051, Biological, Behavioral, and Social Sciences; 47.053, Scientific, Technological, and International Affairs.

**EXAMPLES OF FUNDED PROJECTS:** New program established in FY 1982.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria used for evaluating proposals include: (1) scientific merit of the research proposed, (2) qualifications of the applicant to carry out the project, (3) expected impact of the presence and research program of the visitor on women scientists and engineers or potential scientists and engineers at the host institution.

## 47.060 RESEARCH IMPROVEMENT IN MINORITY INSTITUTIONS

**FEDERAL AGENCY:** NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:** National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875, Public Law 81-507), Reorganization Plan No. 1 of 1977, as amended (5 U.S.C. App., 1977 Supp. I); miscellaneous other laws codified at 42 U.S.C. 1876-1885d; and Executive Order 12320.

**OBJECTIVES:** To help predominantly minority colleges and universities develop greater research capability on their campuses.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants made to eligible institutions may be used to pay costs necessary to establish active research programs, such as wages and salaries, scientific equipment, expendable equipment and supplies, travel, certain publication costs, and other essential costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligibility institutions are those higher education institutions whose enrollments are predominantly (more than 50 percent) composed of Black, Native-American, Spanish-Speaking, or other ethnic minorities with low participation in science and engineering and that have graduate programs in the sciences or programs in engineering.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposals must be signed by the principal investigator, the appropriate department head, and an institutional official authorized to commit the institution in business and financial matters.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Formal proposals, describing the research project to be initiated, are submitted to the Foundation's Central Processing Section. Proposals must be prepared in accordance with instructions in publication "Grants for Scientific and Engineering Research" (NSF 81-79). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Research proposals are evaluated in the same manner as regular proposals. NSF staff members review and evaluate all proposals, generally with the assistance and advice of other qualified scientists or engineers and other relevant persons who are specialists in the field(s) addressed in the proposal. Site visits will be a part of some reviews. Proposals are supported in order of merit to the limit of available program funds. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 6 to 9 months.

**Appeals:** The principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Usually two to three years. Assistance is disbursed by letter-of-credit or as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and/or final reports are required for each grant (NSF Form 98A). Quarterly Federal Cash Transaction Reports (SF 272 and SF 272A) are required.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines "Standards for Audit of Government Organizations, Programs, Activities and Functions".

**Records:** Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 49-0100-0-1-251.

**Obligations:** (Project grants) FY 81 $0; FY 82 est $500,000; and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** Up to $250,000; $200,000 (estimate).

**PROGRAM ACCOMPLISHMENTS:** New program established in FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 25; 45 CFR Chapter VI; "NSF Grant Policy Manual (NSF 77-47); Grants for Scientific and Engineering Research (NSF 81-79).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Program Coordinator, Minorities in Science Programs, Office of Planning and Resources Management, National Science Foundation, 1800 G Street, N.W., Washington, DC 20550. Telephone: (202) 357-7350.

**RELATED PROGRAMS:** 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences; 47.051, Biological, Behavioral, and Social Sciences; 47.053, Scientific, Technological, and International Affairs, 47.055, Two-Year and Four-Year College Instrumentation.

**EXAMPLES OF FUNDED PROJECTS:** New program established in FY 1982.

**CRITERIA FOR SELECTING PROPOSALS:** Support under this program depends upon the quality of the proposed research, requires a student body that is predominantly minority, and requires a graduate program in the sciences or programs in engineering.

# PRESIDENT'S COMMITTEE ON EMPLOYMENT OF THE HANDICAPPED

## 53.001 HANDICAPPED EMPLOYMENT PROMOTION

**FEDERAL AGENCY:** PRESIDENT'S COMMITTEE ON EMPLOYMENT OF THE HANDICAPPED

**AUTHORIZATION:** Executive Order 11480.

**OBJECTIVES:** To promote employment opportunities for the physically and mentally handicapped.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Cooperate with Governors' committees in the 50 States and with local community committees, conduct a national publicity program and provide State and local committees with promotional assistance by cooperating with other public and private groups in promotional campaigns. Promotional aids are available to organizations of the physically and mentally handicapped, those organizations concerned with the handicapped, as well as individuals.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Governors' committees on employment of the handicapped, and other groups and individuals interested in promoting the employment of mentally and physically handicapped persons.

**Beneficiary Eligibility:** Committee does not administer direct benefits. Rather, through its promotional efforts, it helps to create broader employment opportunities for the physically handicapped, mentally restored and mentally retarded.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Contact headquarters office for information and literature.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-0165-0-1-505.

**Obligations:** (Salaries and expenses) FY 81 $1,699,000; FY 82 $1,871,000; and FY 83 est $1,993,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In the past 35 years, the President's Committee was instrumental in bringing about improved national acceptance for employment of the physically handicapped, mentally restored and mentally retarded. Also, it was a prime mover in a national effort to eliminate architectural and transportation barriers to the physically handicapped.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Disabled-USA," a periodical publication; pamphlets on the establishment and maintenance of governors' and local committees on employment of the handicapped promotional materials dealing with employment, vocational rehabilitation, architectural and transportation barriers, homemaker rehabilitation, sheltered workshops, the mentally restored, the mentally retarded and the physically handicapped.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Governor's Committees on Employment of the Handicapped headquartered in every State capitol. Nearly 1,000 local committees.

**Headquarters Office:** Executive Director, President's Committee on Employment of the Handicapped, Washington, DC 20210. Telephone: (202) 653-5044.Contact: Bernard Posner. Telephone: (202) 653-5044.

**RELATED PROGRAMS:** 13.613, Mental Retardation—President's Committee on Mental Retardation; 17.207, Employment Service; 27.005, Federal Employment for the Handicapped; 64.116, Vocational Rehabilitation for Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# RAILROAD RETIREMENT BOARD

## 57.001 SOCIAL INSURANCE FOR RAILROAD WORKERS

**FEDERAL AGENCY:** RAILROAD RETIREMENT BOARD

**AUTHORIZATION:** Social Security Act of 1935, as amended, Public Law 74-271, 49 Stat. 620, 42 U.S.C. Chapter 7, Subchapter 2; Railroad Unemployment Insurance Act, as amended, Public Law 75-722, 52 Stat. 1094, 45 U.S.C. 351-367; Railroad Retirement Act of 1974, Public Law 93-445, 88 Stat. 1305, 45 U.S.C. 231-231t.

**OBJECTIVES:** To protect against loss of income for railroad workers and their families, resulting from retirement, death, disability, unemployment, or sickness of the wage earner.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** Under the provisions of the Railroad Retirement Act and the Railroad Unemployment Insurance Act, benefits are provided for: (1) workers who retire because of age or disability; including supplemental annuities for long-service employees; (2) eligible spouses of retired employees; (3) surviving widows, widowers, children, and parents of deceased employees; (4) unemployed workers; and (5) workers who are sick or injured. In addition, the Railroad Retirement Board participates in the administration of the Federal health insurance program for the aged and the disabled, which covers railroad retirement beneficiaries on the same basis as other eligible persons.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Under the Railroad Retirement Act, for employee, spouse and survivor benefits the employee must have had 10 or more years of railroad service. For survivors to be eligible for benefits, the employee must also have been insured at death. Under the Railroad Unemployment Insurance Act, an employee must have earned at least $1,000 in railroad wages (counting no more than $400 in any month) and, if a new employee, must have worked for a railroad at least five months in a calendar (base) year to be a qualified employee in the applicable benefit year.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of age for retirement benefits; proof of marriage for spouse's or survivor's benefits; medical evidence for disability or sickness benefits; registration for proof of unemployment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application for retirement, disability, survivor, or sickness benefits should be made to any office of the Railroad Retirement Board. Application for unemployment benefits should be made to a railroad unemployment claims agent, generally at a railroad office or other facility.

**Award Procedure:** The Bureau of Retirement Claims makes awards under the Railroad Retirement Act and the Bureau of Unemployment and Sickness Insurance makes awards under the Railroad Unemployment Insurance Act.

**Deadlines:** Benefits not payable earlier than specified period prior to application, varying with type of benefits; insurance lump sum application deadline is two years after employee's death. Applicants may contact any Railroad Retirement Board Office to obtain information relative to a specific type of benefit administered under the Railroad Retirement Act or the Railroad Unemployment Insurance Act.

**Range of Approval/Disapproval Time:** Varies depending upon complexity of claim.

**Appeals:** Initial unemployment and sickness benefit appeals are made to the Bureau of Unemployment and Sickness Insurance; initial retirement and survivor benefit appeals are made to the Bureau of Hearings and Appeals. Subsequent appeals from initial determinations may be made to the Board and ultimately to the U.S. Court of Appeals.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Earnings may affect benefit payments, and should be reported to the Railroad Retirement Board.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 60-8011-0-7-601; 20-8042-0-7-999; 60-0111-0-1-601.

**Obligations:** (Benefit Payments) FY 81 $5,545,000,000; FY 82 est $5,920,000,000; and FY 83 est $6,287,000,000.

**Range and Average of Financial Assistance:** (1) Employee age annuities-monthly maximum $1,203, average $586; (2) disability-monthly maximum $1,203, average $530; (3) employee supplemental annuities-monthly maximum $70, average $52; (4) wife benefits-monthly maximum $565, average $256; (5) widows-monthly maximum $922, average $403; (6) widowed mothers-monthly maximum $1,178, average $444; (7) children-monthly maximum $1,178, average $394, (8) unemployment and sickness-weekly maximum $125, average $125.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, benefits were paid to an estimated 1,250,000 retirees and their families, survivors of deceased railroad workers, and unemployed or sick railroad workers. Under the provisions of the Railroad Retirement Act, in fiscal year 1981, there were 92,400 applications for benefits and 71,838 awards made. Under the provisions of the Railroad Unemployment Insurance Act, in benefit year 1981, there were 221,798 applications for benefits and 197,134 beneficiaries paid.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A series of free leaflets is available from Information Service, Railroad Retirement Board.

**INFORMATION CONTACTS:**

**Regional or Local Office:** California: W. W. Robe, Federal Building, Room 7419, 450 Golden Gate Avenue, Post Office Box 36043, San Francisco, CA 94102, Telephone: (415) 556-2584 (Use same 7-digit number for FTS); Georgia: Z. Jack Gyure, 101 Marietta Street, Suite 2304, Atlanta, GA 30303, Telephone: (404) 221-2690, FTS 242-2690; Missouri: Gerald Thurman, Federal Building, Room 257, 601 East 12th Street, Kansas City, MO 64106, Telephone: (816) 374-3278, FTS 758-3278; New York: Federal Building, Room 3415, 26 Federal Plaza, New York, NY 10278, Telephone: (212) 264-8495 (Use same 7-digit number for FTS); Ohio: Luke L. Paganico, Anthony J. Celebreezze Federal Building, Room 493, 1240 E. 9th Street, Cleveland, OH 44199, Telephone: (216) 522-4043, FTS 293-4043.

**Headquarters Office:** Information Service, Railroad Retirement Board, 844 Rush Street, Chicago, IL 60611. Telephone: (312) 751-4777, FTS 387-4777. Contact: William Poulos.

**RELATED PROGRAMS:** 13.773, Medicare—Hospital Insurance; 13.774, Medicare—Supplementary Medical Insurance; 13.802, Social Security—Disability Insurance; 13.803, Social Security—Retirement Insurance; 13.804, Social Security—Special Benefits for Persons Aged 72 and Over; 13.805, Social Security—Survivors Insurance; 17.225, Unemployment Insurance; 17.302, Longshoremen's and Harbor Workers' Compensation; 57.002, Benefits for Milwaukee Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 57.002 BENEFITS FOR MILWAUKEE RAILROAD WORKERS

**FEDERAL AGENCY:** RAILROAD RETIREMENT BOARD

**AUTHORIZATION:** Milwaukee Railroad Restructuring Act of 1979, as amended, Public Law 96-101, 93 Stat. 736, 45 U.S.C. 901-922.

**OBJECTIVES:** To provide assistance to employees adversely affected by the restructuring of the Milwaukee Railroad.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Unemployment Insurance is provided to workers who were separated or furloughed due to a restructuring transaction; New Career Training Assistance is provided to workers who were separated due to a restructuring transaction and who undertake a course of training for new career opportunities. First right of hire for certain vacancies with other rail carriers is provided to workers who were separated or furloughed due to a restructuring transaction.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (Individuals) An employee of the Milwaukee Railroad on September 30, 1979, must have been separated or furloughed due to a restructuring transaction. For supplementary unemployment insurance, an employee must have separated or furloughed from the "restructured" Milwaukee Railroad, or he must have obtained employment with another rail carrier and have been separated or furloughed. For New Career Training Assistance, an employee must be separated from the Milwaukee Railroad and within two years begin a course of training in a qualified institution for new career opportunities.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Notice from the Milwaukee Railroad of separation: Proof of Payment of training expenses.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application should be made to any office of the Railroad Retirement Board. Application for Supplementary Unemployment Insurance is made on Form UI-110, "Application For Supplementary Unemployment Insurance" and Form UI-111, "Claim For Supplementary Unemployment & Insurance", OMB No. 70-R0350. Application for reimbursement of new career training expenses is made on Form UI-112, "Application For Reimbursement of New Career Training Expenses", OMB No. 70-R0351.

**Award Procedure:** The Bureau of Unemployment and Sickness Insurance makes awards for Supplementary Unemployment Insurance and New Career Training Assistance under the Milwaukee Railroad Restructuring Act.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Appeals from initial determinations are made to the Director of Unemployment and Sickness Insurance. The Director then appoints a referee to hear the case; the referee's decision is final.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** No New Career Training Assistance is available after April 1, 1984. No Supplementary Unemployment Insurance is available after April 1, 1984, except if the claimant has not been paid 8 months of insurance, the remainder of 8 months can be paid.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 60-0108-0-1-603.

**Obligations:** (Benefit payments) FY 81 $157,000; FY 82 est $180,000; and FY 83 est $180,000.

**Range and Average of Financial Assistance:** Supplementary Unemployment Insurance: range $118 - $1,114, average $850; New Career Training Assistance: range $16 - $2,370, average $500.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 227 Milwaukee Railroad employees were placed in new jobs with the assistance of the reemployment lists and priority hiring provisions of the Milwaukee Railroad Restructuring Act. 184 applications for New Career Training Assistance and 79 applications for Supplementary Unemployment Insurance were received and processed in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The informational booklet, UB-7, "Milwaukee Railroad Restructuring Act, Employee Benefit Provisions" is available from any office of the Railroad Retirement Board free of charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** California: W. W. Robe, Federal Building, Room 7419, 450 Golden Gate Avenue, Post Office Box 36043, San Francisco, CA 94102, Telephone: (415) 556-2584 (Use same 7-digit number for FTS); Georgia: Z. Jack Gyure, 101 Marietta Street, Suite 2304, Atlanta, GA 30303, Telephone: (404) 221-2690, FTS: 242-2690; Missouri: Gerald Thurman, Federal Building, Room 257, 601 East 12th Street, Kansas City, MO 64106, Telephone: (816) 374-3278, FTS: 758-3278; New York: Federal Building, Room 3415, 26 Federal Plaza, New York, NY 10278, Telephone: (212) 264-8495 (Use same 7-digit number for FTS); Ohio: Luke L. Paganico, Anthony J. Celebreezze Federal Building, Room 493, 1240 E. 9th Street, Cleveland, OH 44199, Telephone: (216) 522-4043, FTS: 293-4043.

**Headquarters Office:** George DeLaney, Director, Bureau of Unemployment and Sickness Insurance, Railroad Retirement Board, 844 Rush Street, Chicago, IL 60611. Telephone: (312) 751-4800, FTS: 387-4800.

**RELATED PROGRAMS:** 57.001, Social Insurance for Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# SECURITIES AND EXCHANGE COMMISSION

## 58.001 SECURITIES—INVESTIGATION OF COMPLAINTS AND SEC INFORMATION

### (Complaints and Inquiries)

**FEDERAL AGENCY:** SECURITIES AND EXCHANGE COMMISSION

**AUTHORIZATION:** Securities Act of 1933; Public Law 73-22; 15 U.S.C. 77a et seq; 17 CFR 230, Securities Exchange Act of 1934; Public Law 73-291; 15 U.S.C. 78a to 78jj; 17 CFR 240, as amended by Public Law 92-29; and 94-29; Public Utility Holding Company Act of 1935; Public Law 74-333; 15 U.S.C. 79 to 79z-6; 17 CFR 250. Trust Indenture Act of 1939; Public Law 76-253; 15 U.S.C. 77aaa to 77 bbbb; 17 CFR 260. Investment Company Act of 1940; Public Law 76-768; 15 U.S.C. 80a-1 to 80a-52; 17 CFR 270. Investment Advisers Act of 1940; Public Law 76-768; 15 U.S.C. 80b-1 to 80b-21; 17 CFR 275. Chapter X, National Bankruptcy Act; Public Law 75-696; 11 U.S.C. 501-676; 17 CFR 281; Securities Investor Protection Act of 1970, Public Law 91-598; 15 U.S.C. 78aaa; 17 CFR 240-206d-1 et seq, as amended by Public Law 95-283.

**OBJECTIVES:** To represent investors in their dealings with the securities industry by processing complaints received from individual investors and insuring that registered entities process such complaints. To increase public knowledge of the functions of the S.E.C. To advise the Commission and staff about problems frequently encountered by investors and possible solutions. To represent the interests of individual investors in connection with Commission rule-making proceedings.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Investor complaints are an important source of information about possible securities laws violations and assist the Commission in its law enforcement and regulatory functions. Persons who believe they have been defrauded in their securities transactions should advise the Commission so that it may take appropriate action. The public is cautioned, however, that the Commission is not a collection agency; nor does it advise investors whether particular transactions about which they may have complained are violative of the Federal securities laws or seek recovery in their behalf, through court action or otherwise. However, such laws do provide important remedies to investors who may have been defrauded, and investors should consider seeking the advice of an attorney as to any recourse available to them if they believe they have been defrauded.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone may seek information from or file a complaint with the Securities and Exchange Commission.

**Beneficiary Eligibility:** The Commission's actions are designed to protect not only those who seek its help directly, but all other similarly situated investors as well as the general public. Moreover, the Commission's public files contain financial and other information about several thousand companies, broker-dealers, investment companies, investment advisers, transfer agents, and banks. Any member of the public may examine such material at the Commission's headquarters office in Washington, DC, and its regional offices in New York, Chicago and Los Angeles, or he or she may obtain copies of the material by writing to the headquarters office (c/o Public Reference Branch). Also, investors who believe they have been defrauded, or believe that another party has violated the Federal securities laws are urged to present their complaint and/or information to the Commission for use in its enforcement and regulatory activities. Since a public action taken by the Commission does not necessarily result in any monetary benefits to investors, an aggrieved investor may find the information disclosed by the Commission in its actions helpful in any private action he or she may bring to recover his or her losses.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact any office of the SEC.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 50-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $2,452,000; FY 82 est $2,704,000; and FY 83 est $2,951,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In calendar year 1981, approximately 21,000 complaints and inquiries were received and answered.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "The Work of the Securities and Exchange Commission," a detailed discussion of the functions of the SEC, "Investigate Before You Invest," factors to be considered before you invest in securities. Copies of "The Work of the SEC" may be obtained from the Securities and Exchange Commission, Office of Consumer Affairs and Information Services, Washington, DC 20549; the other publication is available through Consumer Product Information, Public Documents Distribution Center, Pueblo Memorial Airport, Pueblo, CO 81009.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Offices: Deloris Boyd, 10960 Wilshire Boulevard, Suite 1710, Los Angeles, CA 90024, (213) 473-4511; Joseph Coogan, Suite 700, 410 Seventeenth Street, Denver, CO, 80202, (303) 837-2071; Herbert Brooks, Ballston Center Tower III, 4015 Wilson Boulevard, Arlington, VA 22203, (703) 557-8201; John P. Simmons, Jr., Suite 788, 1375 Peachtree Street, N.E., Atlanta, GA 30367, (404) 881-4768; Lillian McAlpin, Room 1204, Everett McKinley Dirksen Building, 219 South Dearborn Street, Chicago, IL 60604, (312) 353-7390; Elizabeth Salini, Suite 502, 150 Causeway Street, Boston, MA 02114, (617) 223-2721; Edwin Nordlinger, 26 Federal Plaza, Room 1102, New York, NY 10278, (212) 264-1609; Mary Elizabeth Derrick, Neil P. Anderson Building, 8th floor, 411 West 7th Street, Fort Worth, TX 76102, (817) 334-3821; Beverly King, 3040 Federal Bldg., 915 Second Avenue, Seattle, WA 98174, (206) 442-7990. Branch Offices: June Zaloumis, 450 Golden Gate Avenue, Box 36042, San Francisco, CA 94102, (415) 556-5264; Carol Vassar, Suite 1114, Dupont Plaza Center, 300 Biscayne Boulevard Way, Miami, FL 33131, (305) 350-5765; Mark A. Loush, 1044 Federal Building, 231 Lafayette Street, Detroit, MI 48226, (313) 226-6070; Jo Ann Lilly, Room 5615, Federal Office and Courts Building, 515 Rusk Avenue, Houston, TX 77002, (713) 226-4986; G. Gail Weggeland, Boston Building, Suite 810, Nine Exchange Place, Salt Lake City, UT 84111, (801) 524-5796; Sheldon Sandler, Room 2204, 600 Arch Street, William J. Greene, Jr. Federal Building, Philadelphia, PA 19106, (215) 597-3100.

**Headquarters Office:** Robert R. Wolf, Director, Office of Consumer Affairs and Information Services, Securities and Exchange Commission, 500 North Capitol Street, Washington, DC 20549. Telephone: (202) 523-3952.

**RELATED PROGRAMS:** 13.678, Consumer Affairs; 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.002 ECONOMIC INJURY DISASTER LOANS (EIDL)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 7(b) (2) Public Law 85-536, as amended; 15 U.S.C. 636 (b) Disaster Relief Act of 1970; Public Law 91-606, Sections 231, 234, 235 and 237; Public Laws 92-385, 93-24, 94-68(4), 94-305, 95-89, 96-38, 96-302 and 97-35.

**OBJECTIVES:** To assist business concerns suffering economic injury as a result of certain Presidential, SBA, and/or Department of Agriculture disaster designations.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans (including Immediate Participation Loans).

**USES AND USE RESTRICTIONS:** Up to 30 years for repayment. $500,000 dollar limit: economic injury governs. Funds can be provided to pay current liabilities which the small concern could have paid if the disaster had not occurred. Working capital for a limited period can be provided to continue the business in operation until conditions return to normal. No funds available for realty, equipment repair or acquisition: the interest rate is not to exceed 8 percent. Provisions of Flood Disaster Protection Act of 1973 apply.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a small business concern as described in SBA rules and regulations. Must furnish evidence of the extent of economic injury claimed. Must be unable to obtin credit elsewhere.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Balance sheets and operating statement for prior years and period in which claimed injury was sustained, in order to support claim of economic injury, and copies of complete federal income tax returns for the three years prior to the disaster.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Generally preapplication interviews are held to acquaint applicant with general approach to establishing eligibility and what assistance may be available.

**Application Procedure:** Applications are filed with nearest SBA disaster office on one copy of SBA Form 5 provided for this purpose.

**Award Procedure:** Applicant is notified of approval by authorization letter from SBA disaster office.

**Deadlines:** Eligibility to file terminates nine months from date of the disaster declaration.

**Range of Approval/Disapproval Time:** 14 to 90 days.

**Appeals:** Request for reconsideration of a declined application may be made within 6 months of the last agency action.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial statements on certain business loans. Posting of certain business properties to comply with nondiscrimination regulations. All borrowers must retain records on how loan proceeds are used for three years after last disbursement.

**Audits:** Audits are required only in questionable cases where funds are used contrary to conditions under which they were authorized.

**Records:** Good accounting records must be maintained as economic injury can only be determined by comparison of accurate balance sheets and operating statements.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4153-0-3-453.

**Obligations:** (Loans) FY 81 $157,647,421; FY 82 $2,795,900; and FY 83 obligations in estimate for program 59.008.

**Range and Average of Financial Assistance:** (Prior to P.L. 97-35) $1,000 to $1,083,200; $73,184.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, 32 loans were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Economic Injury Disaster Loans for Small Business", DAD-3; "Loan Sources in the Federal Government, "Management Aid No. 52.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For reference to the field offices (regional, district, and branch), see Appendix IV.

**Headquarters Office:** Disaster Assistance Division, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6879.

**RELATED PROGRAMS:** 10.404, Emergency Loans; 59.008, Physical Disaster Loans; 83.100, Flood Insurance; 83.516, Disaster Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.003 ECONOMIC OPPORTUNITY LOANS FOR SMALL BUSINESSES

## (EOL)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, Section 7(a), Public Law 97-35.

**OBJECTIVES:** To provide loans up to $100,000, with maximum maturity of 15 years, to small businesses owned by low-income or socially or economically disadvantaged persons.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans (including Immediate Participation Loans); Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** To assist in establishing, preserving, and strengthening small businesses owned by low-income or located in areas of high unemployment persons. Excludes publishing media, nonprofit enterprises, speculators in property, lending or investment enterprises, and financing real property held for investment. Funds must not otherwise be available on reasonable terms.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** People with income below basic needs or businesses located in area as of high unemployment which have been denied the opportunity to acquire adequate business financing through normal lending channels on reasonable terms.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Statement of personal history; personal financial statement; company financial statements; summary of collateral.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications are filed in the field offices (see listing in Appendix IV.) serving the territory in which the applicant's business is located. Where the participating bank is in another territory, applications may be accepted and processed by the field office serving that territory, provided there is mutual agreement between the two field offices involved.

**Award Procedure:** Applicant is notified of approval by authorization letter from district SBA office or participant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 3 to 60 days from date of application acceptance, depending on type of loan.

**Appeals:** If a reconsideration is requested within 6 months after decline or withdrawal, no new application is required.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semiannual and annual financial statements.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** FY 81 (Direct), $42,237,161; $18,900,101 (Guaranteed); FY 82 $6,083,300 (Direct) $2,811,550 and FY 83 estimate (Direct) none, and (Guaranteed) $167,000,000.

**Range and Average of Financial Assistance:** Direct Loans: $1,000 to $100,000; $34,530. Guaranteed Loans: $2,250 to $315,600; $39,380.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, 220 Economic loans were made; 164 were direct; 59 were guaranteed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Economic Opportunity Loan Program," OPI-22.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV.

**Headquarters Office:** Director, Office of Business Loans, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6570.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.800, Minority Business Development—Management and Technical Assistance; 15.124, Indian Loans—Economic Development; 59.006, Minority Business Development—Procurement Assistance; 59.011, Small Business Investment Companies; 59.021, Handicapped Assistance Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.005 MANAGEMENT ASSISTANCE TO SMALL BUSINESSES

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 2 of the Small Business Act, as amended; 15 U.S.C. 631, 637(b); Sections 7(i) and 7(j) of the Small Business Act, as amended, 15 U.S.C. 636(i) and (j), Section 302(c)(2), Public Law 95-510, 15 U.S.C. 637.

**OBJECTIVES:** To help the prospective as well as the present small business person improve skills to manage and operate a business.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Advises small business persons of all SBA and other Government Agency assistance services. This assistance includes the following: (1) workshops for prospective small business owners; (2) management counseling, including assistance from SCORE (Service Corps of Retired Executives) and ACE (Active Corps of Executives), graduate and undergraduate students of business management schools participating in the Small Business Institute Program, and other volunteer groups; (3) management courses, conferences and clinics; (4) publications to assist in management of small business; (5) International trade publications and programs; (6) Small Business Development Centers (SBDC's) intensive university-based management counseling and training program. Through a cooperative arrangement between the Small Business Administration and the Veterans Administration, special business ownership training is available to eligible veterans. Special publications and counseling on technological advances in the management and operations field are also available.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Existing and potential small business persons and, in some cases, members of community groups are eligible. A small business is one independently owned and operated which is not dominant in its field. More specific criteria defining small businesses are established by the Small Business Administration. Veterans are eligible for all programs and under certain circumstances will receive special consideration for procurement and financial programs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Personal or written application to SBA field offices.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Upon request.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** As appropriate.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 est $25,004,479; FY 82 est $28,365,000; and FY 83 est $21,918,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, management counseling was given to 208,964 small business persons. Management training enrollment was 351,195 for the same period. Over 4,000,000 publications covering a wide range of business subjects were supplied to the small business community last year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Management Assistance," MA-4, 1981, Free (Formerly PMA-6).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made with the field offices (see Appendix IV).

**Headquarters Office:** Associate Administrator for Management Assistance, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6881.

**RELATED PROGRAMS:** 11.050, Business Assistance, Services, and Information; 11.800, Minority Business Development—Management and Technical Assistance; 59.007, Management and Technical Assistance for Disadvantaged Businessmen; 59.011, Small Business Investment Companies; 59.016, Bond Guarantees for Surety Companies; 59.026, Service Corps of Retired Executives and Active Corps of Executives.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.006 MINORITY BUSINESS DEVELOPMENT—PROCUREMENT ASSISTANCE

### (Section 8(a) Program)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended; Section 8(a) of Public Law 95-507 and Public Law 96-481; 15 U.S.C. 637(a).

**OBJECTIVES:** To insure participation of businesses, that are owned and controlled by disadvantaged persons, in Federal contracting and establishing small manufacturing service and construction concerns that will become independent and self-sustaining in a normal competitive environment.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** This program utilizes authority provided to SBA under Section 8(a) of the Small Business Act to enter into procurement contracts with other Federal agencies and to subcontract to others the performance of contracts SBA has obtained.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A principal factor in eligibility is qualification as a disadvantaged person. These are persons who, because of reasons beyond their control, have been deprived of the opportunity to develop and maintain a position in the competitive economy because of social and economic disadvantage. In many cases, persons in the following minority groups have been so deprived; Black

Americans; American Indians; Hispanic Americans; Asian Pacific Americans; Eskimos, and Aleuts. However, the class of socially and economically disadvantaged is not limited to members of these groups.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Personal or written application to SBA field offices (see listing Appendix IV.).

**Award Procedure:** Applicant is notified of approval by authorization letter from the SBA headquarters office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Macimum of 5 years with an option of a one time extension not to exceed 2 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $7,510,964; FY 82 est $7,705,000; and FY 83 est $22,794,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 4,538 contracts valued at $1,600,000,000 were awarded to 1,188 disadvantaged companies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SBA Rules and Regulations, Section 124.1-1, 124.1-2, 124.1-3, 124.1-4, and 124.10.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made with the field offices (see Appendix IV.).

**Headquarters Office:** Office of Business Development, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6813.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.800, Minority Business Development—Management and Technical Assistance; 59.003, Economic Opportunity Loans for Small Businesses; 59.007, Management and Technical Assistance for Disadvantaged Businessmen; 59.009, Procurement and Technical Assistance to Small Businesses; 59.011, Small Business Investment Companies; 59.033, Minority Small Business and Capital Ownership Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.007 MANAGEMENT AND TECHNICAL ASSISTANCE FOR DISADVANTAGED BUSINESSMEN

### (Development Assistance Program)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Sections 7(j) of Small Business Act, as amended.

**OBJECTIVES:** To provide management and technical assistance through public or private organizations to existing or potential businesses who are economically or socially disadvantaged or who are located in areas of high concentration of unemployment; or are participants in activities authorized by sections 7(i) and 8(a) of the Small Business Act.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Financial assistance under this section may be given for projects which provide (1) planning and research; (2) identification and development of new businesses, new businesses or new business opportunities; (3) furnishing of business counseling, management training and legal and other related services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private organizations that have the capability to provide the necessary assistance.

**Beneficiary Eligibility:** Businesses or potential businesses who are economically or socially disadvantaged, or participants in the 8(a) program.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Bidder's list requirement-by request.

**Application Procedure:** Proposal forwarded to headquarters office below.

**Award Procedure:** Decisions on acceptance are made by the Contracting Officer (AA/MSB-COD), or his designee. The Contracting Officer notifies successful applicants by letter; and published announcement in CBD (Commerce Business Daily).

**Deadlines:** Depends on individual "Request for Proposals."

**Range of Approval/Disapproval Time:** Variable.

**Appeals:** Official GAO protest only.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Contracts are made for a maximum of one year. Disbursements are made within a few days of receipt of request for disbursement. Disbursements are made in partial payments based on work successfully performed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Program and fiscal reports, upon completion of task order.

**Audits:** Pre-award accounting system survey. Final audit by a certified or licensed public accountant. Other audits are required by SBA.

**Records:** Appropriate records as needed for above requirements.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Cooperative Agreements) FY 81 est $4,325,939; FY 82 est $10,000,000; and FY 83 est $15,000,000.

**Range and Average of Financial Assistance:** Call Contracts: $15,000 to $306,250; $94,118.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 11 contracts were awarded to provide management and technical assistance to approximately 1,218 small businesses.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact sheet upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** SBA Field offices shown in catalog appendix.

**Headquarters Office:** Associate Administrator For Minority Small Business, 1441 L Street, N.W., Rm. 317, Washington, DC 20416. Telephone: (202) 653-6874.

**RELATED PROGRAMS:** 11.050, Business Assistance, Services, and Information; 11.800, Minority Business Development—Management and Technical Assistance; 59.009, Procurement and Technical Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.008 PHYSICAL DISASTER LOANS

### (7(b) Loans (DL))

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 7(b) (1); Public Law 85-536, as amended; 15 U.S.C. 636(B) (1) and (4); Disaster Relief Act of 1970, Public Law 91-606, Sections 231, 234, 235 and 237; 42 U.S.C. 4401; Public Laws 93-24, 94-305, 95-89, 96-302 and 97-35.

**OBJECTIVES:** To provide loans to restore, as nearly as possible, the victims of physical type disasters to predisaster condition.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans (including Immediate Participation Loans).

**USES AND USE RESTRICTIONS:** Loans made to homeowners, renters and businesses to repair and/or replace damaged and/or destroyed real property and/or personal property to its pre-disaster conditions. Credit elsewhere test required for homeowners/tennants and businesses to determine interest rates. Loans to homeowners/tennants made up to 30 years. Limit of $50,000 for repair/replacement of real property; $10,000 for repair/replacement of personal property, or a combined maximum of $55,000. The interest rate for homeowners/tennants who have credit available elsewhere is determined by a formula based on the cost of money to the U.S. Government. The interest rate for homeowners/tennants who do not have credit available elsewhere is 1/2 of the formula rate, but not to exceed 8 percent. Loans to business are limited to 85 percent of the verified loss, not to exceed $500,000. For businesses determined to be able to obtain credit elsewhere, the interest rate is based on a formula that equates to the published New York City Prime Rate, with maturities not to exceed three (3) years. For businesses determined to be unable to obtain credit elsewhere, the interest rate may not exceed 8 percent, with maturities up to 30 years. Under certain circumstances, homeowners and businesses may be eligible for refinancing of existing liens. In the case of a Major Source of Employment, the $500,000 limitation on physical disaster loans may be waived.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must have suffered physical property loss as a result of a disaster which occurred in an area designated as eligible for assistance by the Administration as a result of floods, riots or civil disturbances, or other catastrophes. Individuals, business concerns, churches, agricultural enterprises, churches, y private schools, colleges and universities and hospitals are eligible to apply for assistance.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proof of loss to the extent available, including list of realty and personal property to be repaired or replaced. Financial statements and, in some cases, copies of latest filed income tax returns for the three years prior to the disaster.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Whenever feasible, interviews are held with disaster victims and the program is explained. Assistance on filing of application is provided.

**Application Procedure:** Application is made on a standard form for either a home or business type loan and filed in a single copy with the nearest available regular SBA office or special disaster office. Only one copy required.

**Award Procedure:** Applicant is notified of approval by authorization letter from disaster or district SBA office.

**Deadlines:** Eligibility to file terminates 60 days from the date of the disaster declaration.

**Range of Approval/Disapproval Time:** 7 to 90 days depending on complexity of case.

**Appeals:** Reconsideration can be requested of a declined application at any time within 6 months of the decline.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Funds must be used within 6 months of authorization of the loan, unless extended.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial statements on certain business loans. Posting of certain business properties to comply with nondiscrimination regulations. All borrowers must maintain records on how loan proceeds are used for three years after last disbursement.

**Audits:** Not applicable.

**Records:** Reasonable accounting records must be maintained to indicate compliance with any limits set for withdrawals of funds by principals of partnerships and proprietorships, and payment of salaries and dividends by corporations.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4153-0-3-453.

**Obligations:** (Loans) FY 81 $1,472,900,000; FY 82 est $67,290,795; and FY 83 est $440,000,000.

**Range and Average of Financial Assistance:** Direct home loans $55,000 limit plus $50,000 additional in some special cases to refinance existing liens. Direct business loans $500,000. Additional amounts are available as guaranteed loans made by financial institutions.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, 1,634 loans were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Physical Disaster Business Loans," DAD-2; "Disaster Loans for Homes and personal property," DAD-1; "Loans Sources in the Federal Government," Management Aid No. 52.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For reference to the field offices (area, region, and district), see Appendix IV.

**Headquarters Office:** Disaster Assistance Division, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6879.

**RELATED PROGRAMS:** 10.404, Emergency Loans; 14.119, Mortgage Insurance—Homes for Disaster Victims; 59.002, Economic Injury Disaster Loans; 59.010, Flood Insurance; 83.101, Urban Property Insurance; 83.516, Disaster Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.009 PROCUREMENT AND TECHNICAL ASSISTANCE TO SMALL BUSINESSES

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Sections 2, 8, and 9; Public Law 85-536; 15 U.S.C. 631, 637 and 698; Economic Opportunity Act of 1964, as amended, Sections 401, 402, 406 and 407; Public Law 88-452; 42 U.S.C. 2901, 2902, 2906b, and 2906c. Public Law 95-89, Section 501, 15 U.S.C. 637, Section 502, 15 U.S.C. 644, and Public Law 95-507, Section 211, U.S.C. 637, Section 221, 15 U.S.C. 644.

**OBJECTIVES:** To assure to small business a fair share of contracts and subcontracts for Federal Government supplies and services and a fair share of property sold by the Government.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Assistance includes: (1) Application of small business set-asides (restriction of bidding/award to small business only) to Federal procurement and disposal requirements; (2) consultation with procuring agencies on structuring of procurement and sale planning to optimize small business participation; (3) Review and analysis of small firms' capacity, credit, capability, competency, integrity, perseverance, and tenacity when challenged by contracting officers and certifying competence of such firms, as appropriate, and monitoring of certificate of competency holders throughout contract life; (4) review of subcontracting plans of large prime contractors to subcontract to small business, and maintain a procurement automated source system for small business referral to government and commercial procurement purchasing activities; (5) consultation and advice for small firms requesting assistance on Government procurement or property sale matters; (6) assistance in specific contract administration problems; (7) technology assistance to small companies; and (8) determination of eligibility under Section 35 (a) of title 41, Walsh Healey Public Contracts Act.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Existing and potential small businesses. A small business is one independently owned and operated which is not dominant in its field. More specific criteria defining small business are established by the Small Business Administration.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Self certification.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Forms to obtain necessary assistance are provided by SBA field offices.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** 15 days for certificate of competency; no approval required on other programs.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** No time restriction for small business.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 $9,294,345; FY 82 est $9,972,000; and FY 83 est $9,542,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981 (A) approx. $24 billion in Government contracts were awarded to small businesses: (B) approx $15 billion in Government subcontracts were awarded to small businesses; and (C) 513 awards resulting from the certificate of competency program were made valued at $424 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 13, Code of Federal Regulations, Part 125; "U.S. Government Purchasing and Sales Directory", available from the Government Printing Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made with the field offices (see Appendix IV).

**Headquarters Office:** Associate Administrator for Procurement Assistance, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416.

**RELATED PROGRAMS:** 17.301, Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Minimum Wage and Hour Standards; 36.001, Fair Competition Counseling and Investigation of Complaints; 39.001, Business Services; 43.002, Technology Transfer; 59.006, Minority Business Development—Procurement Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.011 SMALL BUSINESS INVESTMENT COMPANIES

### (SBIC; Section 301(d) Licenses)

**FEDERAL AGENCY: SMALL BUSINESS ADMINISTRATION**

**AUTHORIZATION:** Small Business Investment Act of 1958, as amended; Public Law 85-699; 15 U.S.C. 661 et seq.

**OBJECTIVES:** To make equity and venture capital available to the small business community with maximum use of private sector participation, and a minimum of government interference in the free market, to provide advisory services and counseling.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** The investment companies provide management and financial assistance on a continuing basis to eligible small business concerns. Financial assistance is provided by making long-term loans to these small concerns, and/or by the purchase of debt or equity type securities issued by these firms. Emphasis is on providing assistance to the pioneering, innovating type concerns developing new products, processes, and markets. Section 301(d) SBIC investment policy is directed toward providing assistance, which will contribute to a well balanced national economy by making it easier to become the owner of small business concerns by individuals who have been disadvantaged by social or economic reasons. Debentures are issued by the SBIC and guaranteed by SBA for a term not to exceed 15 years. Under certain circumstances, Section 301(d) licenses may apply for the sale of a limited amount of their preferred stock to SBA. Investment companies generally may not self-deal, take control, finance "big business," or invest over 20 percent (30 percent for Section 301(d) SBICs) of private capital in any single small concern.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any chartered small business investment company having a combined paid-in capital and paid-in surplus of not less than $500,000 having qualified management, and giving evidence of sound operations.

**Beneficiary Eligibility:** Individual businesses (single proprietorship, partnership or corporation) which satisfy the established criteria of a small business and, for Section 301(d) license beneficiary eligibility, of a disadvantaged small business.

**Credentials/Documentation:** Investment company must be chartered as a corporation or limited partnership (with corporate general partner). Determination is made as to need in area, general business reputation and character of proposed owners and management and probability of sucessful operations. All loans to small concerns shall be of such sound value, or so secured, as reasonably to assure repayment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Request information and appropriate forms from SBA office. Complete application requirements and submit with application fee payment to SBA headquarters office.

**Award Procedure:** Applicant is notified by issuance of a license from the Investment Division of the Small Business Administration.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** Proponents may reapply at any time.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** $3 or $4 for every dollar obtained from private sources (leverage amount depends upon combined paid-in capital and paid-in surplus). The leverage is effected through (1) the purchase of a Section of 301(d) SBIC's debentures carrying an interest rate of the greater of 3 percent or 3 percent below the rate determined by the U.S. Treasury on the basis of the market yield on comparable U.S. obligations, or (2) through SBA guaranty of the applicant's debentures sold to the Federal Financing Bank carrying an interest rate not less than a rate determined by the financing bank on the basis of the market yield on comparable U.S. obligations. A portion of the leverage provided to Section 301(d) licenses may be through preferred stock.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial report (annual); program financing reports; any other report furnished stockholders.

**Audits:** Annual audit by a certified public accountant and periodic examinations by SBA personnel.

**Records:** Current financial records, minutes of meetings of stockholders, directors, executive committees, and time spent and charges made for management consulting services performed must be maintained for six years.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** (Loans) FY 81 $42,000,000 (Direct) $160,000,000 (Guaranteed); FY 82 est $41,000,000 (Direct) FY 82 est $41,000,000 (Direct), $160,000,000 (Guaranteed); and FY 83 est (Direct) $41,000,000 (Guaranteed) $125,000,000.

**Range and Average of Financial Assistance:** Guaranteed Loans: $50,000 to $35,000,000; $872,347.

**PROGRAM ACCOMPLISHMENTS:** As of SBIC fiscal year 1979, SBIC's had outstanding financings to small businesses in the amount of $775.0 million; Section 301(d) licensees had outstanding financings in the amount of $73.4 million. The annual rate of disbursements to small business by SBIC's as of December 31, 1980 was $325.0 million. There were 350 SBIC's and 129 Section 301(d) licensees as of December 31, 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 13 CFR Chapter I, Part 107; OPC-9, February 1981, "SBIC Financing for

Small Business," ID-1, December 1976, "Starting a Small Business Investment Company,"OPI-51, April 1974, Section 301(d), "Small Business Investment Company's."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV.

**Headquarters Office:** Director, SBIC Operations, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6584.

**RELATED PROGRAMS:** 11.800, Minority Business Development—Management and Technical Assistance; 59.003, Economic Opportunity Loans for Small Businesses; 59.005, Management Assistance to Small Businesses; 59.006, Minority Business Development—Procurement Assistance; 59.013, State and Local Development Company Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.012 SMALL BUSINESS LOANS

### (Regular Business Loans—7(a) Loans)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 7(a); Public Law 97-35, as amended.

**OBJECTIVES:** To aid small businesses owned by low income individuals or located in areas of high unemployment which are unable to obtain financing in the private credit marketplace, including agricultural enterprises.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans (including Immediate Participation Loans).

**USES AND USE RESTRICTIONS:** To construct, expand, or convert facilities; to purchase building equipment or materials; for working capital. Excludes gambling establishments, publishing media, nonprofit enterprises, speculators in property, lending or investment enterprises, and financing of real property held for investment; also excludes funds to indiscriminately relocate the business. Funds must not otherwise be available on reasonable terms, nor used to pay off a loan to an unsecured creditor who is in a position to sustain loss.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A small business which is independently owned and operated and is not dominant in its field. Generally for manufacturers, average employment not in excess of 250; wholesalers, annual sales not over $9,500,000; retail and service concerns, revenues not over $2,000,000, and agricultural enterprises, gross annual sales not over $1,000,000. (See Uses and Use Restrictions above.)

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Statement of personal history, personal financial statement, company financial statements, summary of collateral.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications are filed in the field office (see listing in Appendix IV) serving the territory in which the applicant's business is located. For mining loans, applications shall be filed in the field office serving the territory in which the mining operation is located. Where the participating bank is in another territory, applications may be accepted and processed by the field office serving that territory, provided there is mutual agreement between the two field offices involved.

**Award Procedure:** Applicant is notified by authorization letter from district SBA office, or participating bank.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From three to 60 days from date of application acceptance, depending on type of loan.

**Appeals:** If a reconsideration is requested within six months after decline or withdrawal, no new application is required.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semiannual and annual financial statement.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** (Loans) FY 81 $153,168,413 (Direct), $2,526,123,628 (Guaranteed); and FY 82 $28,493,138 (Direct) $454,578,263 (Guaranteed); and FY 83 est $0.

**Range and Average of Financial Assistance:** Direct Loans: $1,000 to $350,000; $54,782. Guaranteed Loans: $1,800 to $500,000; $113,589.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, 4,166 loans (527 direct and 3,639 guaranteed) were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "SBA Business Loans from the SBA" OPC-6.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be with the district offices listed in Appendix IV.

**Headquarters Office:** Director, Office of Business Loans, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6570.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.800, Minority Business Development—Management and Technical Assistance; 15.124, Indian Loans—Economic Development; 59.003, Economic Opportunity Loans for Small Businesses; 59.021, Handicapped Assistance Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.013 STATE AND LOCAL DEVELOPMENT COMPANY LOANS

### (501 and 502 Loans)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act as amended, Public Law 97-35. 696.

**OBJECTIVES:** To make Federal funds available to State and local development companies to provide long-term financing to small business concerns located in their areas. Both State and local development companies are corporations chartered for the purpose of promoting economic growth within specific areas.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loans to State development companies are to assist small businesses with h long-term financing. Loans to local development companies are for the purchase of land, buildings, machinery, and equipment, or for constructing, expanding, or modernizing buildings. Loans are not available to local development companies to provide small businesses with working capital or for refinancing purposes. Loans may not exceed 25 years.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A State development company must be incorporated under a special State law with authority to assist small businesses throughout the State. Loans are available to local development companies which are incorporated under general State corporation statute, either on a profit, or nonprofit basis, for the purpose of promoting economic growth in a particular community within the State.

**Beneficiary Eligibility:** Potential beneficiaries are small businesses independently owned and operated for a profit and not dominant in their fields. More specific criteria defining a small business are established by the Small Business Administration. Loans are not available to assist a charitable institution, newspaper, magazine; or similar type enterprise. For radio or television broadcasting companies, loans can be made if they meet Standard "Small Business" eligibility criteria.

**Credentials/Documentation:** The application should include, among other things, a copy of the development company's charter, bylaws, list of stockholders or membership, and all prescribed financial data.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Other Federal agencies, State lending authorities, and private institutions, if any, participating in financing the project cost.

**Application Procedure:** Application must be made on SBA Form 501 or 502 and requirements set forth thereon must all be fully complied with by the State or local development company (borrower) and the small business being assisted.

**Award Procedure:** Applicant is notified by authorization letter from regional or district SBA office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 20 to 30 days from the date of acceptance of an application.

**Appeals:** Request for reconsideration of a declined loan will be granted at any time within 6 months from the date of decline, providing that reasonable evidence is submitted to substantially overcome the stated reasons for decline.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Generally, 10 percent of the project cost must be provided by the local development company. Such funds may be obtained from the sale of securities or memberships to local people. Also, Community Development Block Grants Funds may be used to provide the LDC's required 10 percent injection.

**Length and Time Phasing of Assistance:** Loans to State development companies are generally on a lump sum basis; loans to local development companies are generally on a progress payment basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial statements by the local development company; annual and semiannual financial information required from the small business concern.

**Audits:** Small Business Administration shall have the right to conduct an audit of the books of the borrower and the small business concern, at its discretion.

**Records:** During the term of the loan, both the borrower and the small business concern assisted must maintain financial records and information adequately reflecting all transactions and results of operations.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** (Loans) FY 81 (Direct) $6,000,000; $66,600,000, )Guaranteed); and FY 82 $150,000,000 (Guaranteed); and none for (Direct); and FY 83 est $150,000,000(Guaranteed) and none for (Direct).

**Range and Average of Financial Assistance:** In FY 1981 Direct Loans: $13,000 to $350,000; $32,258. Guaranteed Loans: $15,840 to $500,000; $186,206.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, 19 local loans valued at $5,527,063; and none for State loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Loans to Local Development Companies," OPI-17; "Key Features of SBA's Principal Lending Programs," OPI-7. "Long-Term Financing Through the Secondary Market of the U.S. Small Business Administration," SBA-475.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV.

**Headquarters Office:** Office of Business Loans, Small Business Administration, 1441 L Street, N.W., 8th Floor, Washington, DC 20416.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 59.011, Small Business Investment Companies.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.016 BOND GUARANTEES FOR SURETY COMPANIES

### (Surety Bond Guarantee)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Investment Act of 1958, Title IV, Part B, Sections 410 and 411, as amended by Public Laws 91-609, 94-386 and 95-507.

**OBJECTIVES:** To encourage the commercial surety market to make surety bonds more available to small contractors unable for various reasons to obtain a bond without a guarantee.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans (including Guaranteed Surety Bonds).

**USES AND USE RESTRICTIONS:** Contracts of $1 million or less, where a surety bond is required but not available privately without an SBA guarantee. Guarantee is limited to bid, payment, and performance bonds (and ancillary other bonds incidental to the performance of a specific contract). Guarantee is provided directly to the surety, and only on a case-by-case basis, for a particular contract. Guarantee covers up to 90 percent of surety's losses on that contract.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Guarantees are limited to those surety companies holding certificates of authority from the Secretary of the Treasury as an acceptable surety for bonds on Federal Contracts, or those other companies which can meet the requirements of the Small Business Administration.

**Beneficiary Eligibility:** A small contractor whose gross annual receipts have been not more than $3,500,000 in the firm's last fiscal year (or as averaged for the last three fiscal years).

**Credentials/Documentation:** Application and Supplement Information.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Small contractor must apply directly to an insurance agent/broker for a surety bond. Insurance agent/broker in turn acts for or contacts surety company to process the bond request. Surety company deals directly with SBA regarding guarantee request. Local SBA offices are available as contact points for program information purposes.

**Award Procedure:** SBA notifies the surety company of SBA's approval of the requested guarantee and furnishes company with written authorization. Surety company (or agent/broker) notifies the bond applicant and issues bond.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Within short time if underwriting data complete, usually 1 to 5 days after receipt of application from surety company.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Guarantee runs to termination of bond (usually completion of contract).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly, Internal SBA Reports, SBA quarterly sends to participating sureties and other interested parties a summary report on program activity.

**Audits:** SBA has the right to audit its accounts with any participating surety.

**Records:** SBA Central Office maintains records on contractors in default and/or claim status as furnished by sureties. SBA Regional Offices have information about program bonded contractors in the Region with SBA guaranteed bonds.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4156-0-3-376.

**Obligations:** (Bond-guarantees to surety companies) FY 81 $1,302,500,000; FY 82 est $1,080,000,000; and FY 83 est $1,080,000,000.

**Range and Average of Financial Assistance:** Size range of contracts awarded and bonded, $2,000 to $1,000,000; Approximately $80,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, 3,516 contracts were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 13 CFR 115.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Applicants must contact a local agent or broker of surety bonds. General program particulars may be obtained from SBA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Chief, Surety Bond Guarantee Section, Small Business Administration, 4040 N. Fairfax Drive Arlington, Va 22203. Contact: Howard Huegel. Telephone: (703) 235-2907.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.021 HANDICAPPED ASSISTANCE LOANS (HAL-1 and HAL-2)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 7 (a); Public Law 97-35.

**OBJECTIVES:** To provide loans and loan guaranties for nonprofit sheltered workshops and other similar organizations to enable them to produce and provide marketable goods and services; and to assist in the establishment, acquisition, or operation of a small business owned by handicapped individuals.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans (including Immediate Participation Loans).

**USES AND USE RESTRICTIONS:** HAL-1 (nonprofit organizations) loan proceeds may be used for working capital and construction of facilities if a construction grant is not available from other Government sources. No loan may be used for training, education, housing or other supportive services for handicapped employees. HAL-2 (small business concerns): To be used for construction, expansion, or conversion of facilities; to purchase building, equipment, or materials; and for working capital. Excludes speculation, publishing media, nonprofit enterprises, speculators in property, lending or investment enterprises, and financing of real property held for sale or investment. For both HAL-1 and HAL-2, loans must be of such sound value and security so as to assure reasonable repayment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For nonprofit organizations (HAL-1), must be organized under the laws of the State, or of the United States, as an organization operating in the interests of handicapped individuals and must employ handicapped individuals for not less than 75 percent of the man-hours required for the direct production of commodities or in the provision of services which it renders. For HAL-2 (small business concerns), must be independently owned and operated, not dominant in its field, meet SBA size standards, and be 100 percent owned by handicapped individuals. Handicap must be of such a nature as to limit the individual in engaging in normal competitive business practices without SBA assistance.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Statement of personal history, personal financial statement, company or organization financial statements, summary of collateral. Corporate charter and by-laws of nonprofit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications are filed in the field office (see listing in Appendix IV) serving the territory in which the applicant is located. Where the participating bank is in another territory, applications may be accepted and processed by the field office servicing that territory, provided there is mutual agreement between the two field offices involved.

**Award Procedure:** Applicant is notified by authorization letter from district SBA office, or participating bank.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Approximately six weeks.

**Appeals:** If reconsideration is requested within six months after decline or withdrawal, no new application is required.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic financial statements.

**Audits:** Required only in specific cases.

**Records:** Adequate accounting system required.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** (Loans) FY 81 $25,000,000 (Direct) $1,700,000 (Guaranteed); FY 82 $3,076,400 (Direct), $659,700 (Guaranteed); and FY 83 est (Direct) none and $5,000,000 (Guaranteed.

**Range and Average of Financial Assistance:** $500 to $350,000; $88,944, (Direct); $15,000 to $346,500; $175,000, (Guaranteed).

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, 47 loans (45 direct and 2 guaranteed), were approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Fact Sheet - "Handicapped Assistance Loans," Part 118, SBA Rules and Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be with the district office listed in Appendix IV.

**Headquarters Office:** Director, Office of Business Loans, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6570.

**RELATED PROGRAMS:** 59.003, Economic Opportunity Loans for Small Businesses; 59.012, Small Business Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.026 SERVICE CORPS OF RETIRED EXECUTIVES AND ACTIVE CORPS OF EXECUTIVES (SCORE; ACE)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Public Law 95-510, U.S.C. 637.

**OBJECTIVES:** To utilize the management experience of retired and semi-retired (SCORE) and active (ACE) business executives for the benefit of new and existing small businesses.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Working closely with the Small Business Administration which has responsibility for direction and administration of SCORE/ACE Programs. These volunteers utilize their expertise within the SCORE/ACE Programs in assisting the small business entrepreneur with their management problems. A small business seeking business management counseling may apply to the nearest Small Business Administration field offices. SCORE/ACE Volunteers are remunerated for out-of-pocket expenses while on a counseling case. They do not accept compensation or fees for services rendered.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Existing and potential small business people requiring management counseling are eligible. A small business is one independently-owned and operated which is not dominant in its fields.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Personal or written application (SBA Form 641, for SCORE/ACE counseling).

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Upon request.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** As appropriate.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 est $1,546,428; FY 82 est $2,120,000; and FY 83 est $2,120,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Since SCORE and ACE were established in 1964, it has responded to more than 700,000 requests for assistance. It links retired businessmen and women who have management expertise with the owners/managers of small businesses and community organizations in need of management counseling. There are approximately 12,000 SCORE and ACE volunteers serving in all 50 states.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SBA Act, SOP 60-10-1, SCORE/ACE SOP, SCORE/ACE Counselor's Guidebook and Brochures.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The initial contact should be made with the SBA SCORE/ACE Coordinators located in the SBA field offices. See Appendix IV.

**Headquarters Office:** Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-6725.

**RELATED PROGRAMS:** 11.050, Business Assistance, Services, and Information; 59.005, Management Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.030 SMALL BUSINESS ENERGY LOANS

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 7(a), Public Law 97-35.

**OBJECTIVES:** To assist small business concerns to finance plant construction, expansion, conversion, or startup; and the acquisition of equipment facilities, machinery, supplies or materials to enable such concerns to manufacture, design, market, install or service specific energy measures.

**TYPES OF ASSISTANCE:** Direct Loans; Guaranteed/Insured Loans (including Immediate Participation Loans).

**USES AND USE RESTRICTIONS:** Up to 25 years for repayment; $350,000 limit on direct loans; $500,000 or 90 percent limit on guaranteed loans. Research and development expenses limited to 30 percent of loan total. Interest rate for direct loans set by statute.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a small business concern as described in SBA regulations. Must furnish evidence of being engaged in an eligible energy measure. State, local government not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Balance sheets, income statements, collateral schedule, use of proceeds, income projections are needed to support repayment ability and security of loan. Personal guaranty may be required, therefore personal financial statements are necessary.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication interviews are held to acquaint applicant with program and establish general eligibility and creditability. Discussions as to procedures and steps which should be taken to obtain financial assistance are undertaken.

**Application Procedure:** Applications are filed with nearest SBA field office on SBA Form 4 provided for this purpose.

**Award Procedure:** Applicant is notified of approval by authorization letter from SBA district office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 3 to 90 days depending on type of loan.

**Appeals:** Request for reconsideration of a declined application may be made within 6 months of last agency action otherwise, a new application is required.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Semi-Annual and Annual Financial Statement.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** (Loans) FY 81 $6,700,000 (Direct) $7,300,000 (Guaranteed); FY 82 est $15,000,000 (Guaranteed) $10,000,000 (Direct); and FY 83 est (Direct(None) $15,000,000 (Guaranteed).

**Range and Average of Financial Assistance:** Information not yet available.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, 3 loans were made - 1 direct loans for $65,000 and 2 guaranteed loans for $69,300.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SBA Rules and Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be with the district offices listed in Appendix IV of the Catalog.

**Headquarters Office:** Office of Business Loans, Small Business Administration 1441 L. St., NW, Washington, DC 20416. Telephone: (202) 653-6570.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 59.003, Economic Opportunity Loans for Small Businesses; 59.012, Small Business Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.031 SMALL BUSINESS POLLUTION CONTROL FINANCING GUARANTEE

### (Pollution Control Financing)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Investment Act of 1958, Title IV, Part A, as amended, Section 404, Public Law 94-305, 15 U.S.C. 692.

**OBJECTIVES:** To help small businesses meet pollution control requirements and remain competitive.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans (including Guaranty Participation Loans).

**USES AND USE RESTRICTIONS:** Be an eligible small business requiring Pollution Control facilities/equipment, but at operational or financing disadvantage for obtaining such, yet have willingness of local bond issuing authority to fund such facilities/equipment through a qualified contract (loan, lease, etc.) and bond sale with SBA's guarantee.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a small business concern as described in SBA regulation. Applicant together with affiliates meets SBA size standards (industry employees limit, or net worth, and annual earnings dollar limits); applicant has minimum five years in business, profitable three of last five years, has evidence from pollution control regulatory authority that PC facilities/equipment are acceptable.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Application, plus: local bond issuing authority's request for SBA guarantee; analysis and recommendation of Sponsor (bank of account); PC regulatory authority's approval of applicant's proposed PC facility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application preparation is coordinated in conjunction with sponsor, the securities underwriter, the bond issuing authority, and bond legal counsel.

**Award Procedure:** SBA notifies bond issuing authority of SBA commitment to guarantee under specific terms and conditions.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 3 to 10 working days after SBA's receipt of complete application.

**Appeals:** No formal appeal process.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Guarantee runs for term of approved bond financing (up to 30 years).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual report from bond trustee as to status of account.

**Audits:** Right to audit sponsor's records connected with the application, and bond trustees records of the account.

**Records:** SBA internal records in addition to trustee's records.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4147-0-3-376.

**Obligations:** (Loans) FY 81 $100,000,000; FY 82 est $150,000,000; and FY 83 est $150,000,000.

**Range and Average of Financial Assistance:** $5,000,000. Approximately $1,000,000.

**PROGRAM ACCOMPLISHMENTS:** The SBA has guaranteed 64 bond issues involving 171 separate small businesses for a total of approximately $204,900,000 (through January 1981). Terms of these financings range from between 7 and 25 years.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations at 13 CFR, Part 111.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Vincent A. Fragnito, Chief, Pollution Control Financing Division, Office of Special Guarantees, Small Business Administration, 4040 N. Fairfax Drive, Arlington, VA 22203. Telephone: (703) 235-2902. Contact: Vincent A. Fragnito.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** The types of business assisted thus far includes metal platers, cheese manufacturers, chemical companies, paper manufactures, and refuse disposal companies.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.032 OFFICE OF WOMEN'S BUSINESS ENTERPRISE

### (Women's Business Enterprise)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Executive Order 12138, May 18, 1979.

**OBJECTIVES:** To enhance job creation potential and improve profitability among small businesses through developing effective management and financial planning skills in women entrepreneurs and improving the business environment for women-owned businesses.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Applicants are funded with grants and cooperative agreements to provide advice and counseling, business information, accounting guidance, marketing, site analysis, production, engineering, personnel management, lease negotiations, bidding, construction assistance, procurement, identification of potential business opportunities, advice on mergers and divestitures, and identification of capital sources. In addition, assistance can be used for demonstration projects to test new means of meeting the needs of women entrepreneurs, test the feasibility of these means through pilot projects, and assess the performance of these projects. Finally, assistance is provided to support research directed toward the solution of problems affecting women's business enterprise and to the collection of business and economic data needed to facilitate the solution of such problems. Financial assistance cannot be used as a loan to an existing or potential business.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any for-profit firms or nonprofit organizations are eligible to submit applications. Proposals from academic institutions will not be accepted.

**Beneficiary Eligibility:** Recipient is to provide assistance, or develop or adapt programs to assist women who own and control at least 51% of an existing business, are attempting to establish or improve an existing business or acquire a business.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication procedures may be required for some proposals. Individual program announcements will indicate requirements.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Grants and cooperative agreements pertaining to enterprise development will be awarded on a competitive basis based upon applications submitted in response to notices published in the Federal Register and/or the Commerce Business Daily. Some awards may not be advertised.

**Award Procedure:** Notices published in the Federal Register and the Commerce Business Daily will advise applicants where to submit applications which will then be reviewed and evaluated by the Women's Business Enterprise Division (WBED). The Associate Administrator for (WBED) will make the final decision on all applications. Name checks and pre-award audits may be required from applicants. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As outlined in the announcement process, Federal Register and/or Commerce Business Daily. Applicants may also contact SBA for deadline dates.

**Range of Approval/Disapproval Time:** From 1 to 4 months.

**Appeals:** Not applicable.

**Renewals:** When grants and cooperative agreements are awarded on a competitive basis, such awards may include an option to renew for an additional period of time without undergoing formal competition. Such options will be exercised at WBED'S discretion.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Usually for a period of 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial (quarterly and annually); narrative (quarterly and annually); statistical reports on each individual beneficiary, and special reports as required.

**Audits:** Federal audits may be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically and effectively.

**Records:** Documents, papers and financial records relating to the project are required to remain available to SBA for 3 years following final payment under the award.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Grants) FY 81 $1,321,111; FY 82 est $1,274,000; and FY 83 est $1,096,000.

**Range and Average of Financial Assistance:** $5,000 to $150,000; $30,000.

**PROGRAM ACCOMPLISHMENTS:** The WBED division has designed a comprehensive program for the 1980's to develop programs which can be delivered entirely through the private sector. Components include testing of various approaches to deliver management assistance and training to women, improving access of women to financial and business resources, and broadening public understanding of the economic contribution women make through effective particiption in the growth of the small business sector.

**REGULATIONS, GUIDELINES, AND LITERATURE:** There are no applicable regulations in the Code of Federal Regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact nearest Small Business Administration Regional or District Office listed in Appendix IV of this Catalog.

**Headquarters Office:** Director, Office of Special Training and Counseling, Women's Business Enterprise Division, Small Business Administration, Washington, DC 20416.

**RELATED PROGRAMS:** 59.012, Small Business Loans.

**EXAMPLES OF FUNDED PROJECTS:** Project grants were funded by SBA for 1) the National Association of Bank Women (NABW) to develop and deliver modular seminar materials aimed at improving the business relationship between bankers and women applicants for business financing; 2) the American Women's Economic Development Corporation (AWEB) in New York City, an indepth, quality training and counseling program for women business owners; 3) the National Business Leaque (NBL) to determine the key factors, beyond sex, inhibiting the success of minority women in starting and expanding businesses; and 4) CRC Education and Human Development, Inc., to isolate factors contributing to successful government procurement among women business owners.

**CRITERIA FOR SELECTING PROPOSALS:** Competitive awards are made based on an evaluation of the applications. This evaluation includes such factors as capability of the staff assigned to the project, management capability of the applicant, the program plan, cost and awareness of the area to be served.

## 59.033 MINORITY SMALL BUSINESS AND CAPITAL OWNERSHIP DEVELOPMENT (COD)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 7(j)(10) of Public Law 95-507.

**OBJECTIVES:** To develop, recommend, and direct implementation of policies and procedures for the broadening of small business ownership by individuals who are both socially and economically disadvantaged and among groups that presently own and control little productive capital, by promoting their increased participation in agency programs, other Federal agencies, private lending institutions, and industry associations.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Advises small business concerns owned and controlled by socially and economically disadvantaged individuals of all SBA and other Government agency assistance services. This assistance includes the following: (1) seminars for prospective eligible small business concerns; (2) development of non-8(a) competitive markets for 8(a) contractors; (3) increase number of minority banks to the SBA Bank Certification Program; (4) promote licensing of new MESBICS; and (5) provide training of eligible small business concerns on how and where to obtain equity and debt financing.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Small business concerns eligible to receive contracts pursuant to Section 8(a) of the Small Business Act are eligible for participation in the Small Business and Capital Ownership Program.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Personal or written application to SBA field offices (see listing in Appendix IV of this Catalog).

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 est $4,507,254; FY 82 est $4,699,000; and FY 83 est $3,691,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, four agreements were signed with major corporations for minority business. Training was provided for 8(a) contractors with the General Services Administrator on understanding the procurement process and procurement laws and regulations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SBA Rules and Regulations Section 124.3-1.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made with the field offices (see Appendix IV of this Catalog).

**Headquarters Office:** Associate Administrator for Minority Small Business and Capital Ownership Development, Small Business Administration, 1441 L Street, N.W. Washington, DC 20476. Telephone: (202) 653-6407.

**RELATED PROGRAMS:** 11.301, Economic Development—Business Development Assistance; 11.800, Minority Business Development—Management and Technical Assistance; 59.003, Economic Opportunity Loans for Small Businesses; 59.007, Management and Technical Assistance for Disadvantaged Businessmen; 59.009, Procurement and Technical Assistance to Small Businesses; 59.011, Small Business Investment Companies.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.034 SMALL BUSINESS ECONOMIC RESEARCH

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Public Law 94-305, 15 U.S.C. 634.

**OBJECTIVES:** To encourage economic research which deals with: (1) the effects of government programs, policies and regulations on small business: (2) the contribution of small business to the economic and social welfare of the United States; and (3) the development of theories or methodologies useful in studying small business problems.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research grants provide support for small business economic research which may consist of: (a) large-scale, broadly based areas of economic research, with interdisciplinary requirements and may consist of several projects with a common focus; (b) clearly defined projects or a small group of related activities with narrow focus; and (c) small-scale ("Small Grants") exploration and pilot studies or exploration of an unusual research opportunity. Where appropriate, funds may be used to support conferences and cost publication related to the approved research project. Small grants are limited to $10,000 direct costs for a period of 1 year or less. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** In general, there are no restrictions on who may participate in this program. Investigators (researchers) are usually affiliated with universities, colleges, public or private junior and community colleges or public or nonprofit private consulting firms, including State, local or regional government agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with principles cited in OMB Circular Nos. A-21, A-87, A-122 or

41 CFR 1-15 whichever is applicable to the receipient organization involved and SBA implementing regulatons in effect at time of assistance award.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication consultation with the Office of Economic Research (OER) is not mandatory, but is encouraged. Upon request, OER will provide interested parties with a preapplication package. Proposals must be signed by the organization co-principal investigator and by an official of the organization authorized to commit the organization in business and financial affairs. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program.

**Application Procedure:** Research grant applications will be awarded on a competitive basis based on applications submitted in response to notices published in the Federal Register, the Commerce Business Daily and other program opportunity announcements. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** SBA Staff members review and evaluate all proposals generally with the assistance and advice of other qualified persons who are knowledgeable in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds. The amount of the award and period of support are determined on the basis of the merit of the project. Name checks and pre-award credits may be required form applicants. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None for unsolicited proposals. For solicited proposals, see applicable announcements.

**Range of Approval/Disapproval Time:** From 3 to 6 months.

**Appeals:** None.

**Renewals:** Support is recommended for a specified project, usually not in excess of 24 months. Prior to termination of a project period, the guarantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request. Small grants are not renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Expenditures and performance monitoring reports are usually required on a quarterly basis unless otherwise stated. All other special reports as required.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** Documents, papers and financial records relating to the project are required to remain available to Federal Government officials for 3 years following final payment under the award.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Grants) FY 81 est $2,839,677; FY 82 est $3,400,000; and FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** Contracts: $5,000 to $500,000; $60,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1979, the OER received approximately 420 proposals and funded nearly 50 contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SBA "Small Business Economic Research Program Announcement."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Grants Management Officer, Small Business Administration, 1441 L Street, N.W., Washington, DC 20416. Telephone: (202) 653-7744.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Examples of the types of projects which were funded in FY 1981 include such small business economic research studies as: (a) The Effect of Changes in the Business Cycle on Small Firms - $7,100 to a private consultant; (b) Microdata Computation to Impute Employment to SOI - $125,000 interagency agreement with IRS; (c) Skill Development in Small Business: A Preliminary Look - $47,575 to a small business consulting firm; Capital Markets Serving Small Businesses - $73,120 to a nonprofit institute.

**CRITERIA FOR SELECTING PROPOSALS:** Competitive awards for small business economic research are made based on an evaluation of the applications. The evaluation reflects technical merit (72 percent), organizational capability and the credentials of the principal investigator (28 percent). Under technical merit, the evaluation is based on factors such as an understanding of the area of research, knowledge of data resources and their limitations, the proposed research hypothesis, and proposed research methodology. Organizational capability is reviewed for past experience in the proposed area of research, training and capability of principal investigator and participating staff, the organizational plan for the proposed area of study, and the relation of fee level of support to the proposal.

## 59.035 PROCUREMENT AUTOMATED SOURCE SYSTEM

## (PASS)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 8(b).

**OBJECTIVES:** To improve potential Government contract and subcontract opportunities for interested small businesses which are organized for profit and independently owned and operated. It is designed to be responsive to the requests of Government agencies and major corporations for profiles of potential bidders.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** PASS is a computerized data base with nationwide interactive terminals to provide capabilities of small firms for procurement sources. Registration is free and entirely voluntary to any small business which is organized for profit, independently owned and operated and who wishes to do business with the Federal Government or major corporations. PASS is designed to respond to the requests of Government agencies and the private sector for profiles of potential bidders. It permits small firms registered with PASS to have their capabilities made available when specific source requests are made by Federal procurement officers and other buyers. A maximum of 25 small firms are furnished for each specific request. It does not provide mailing lists for commercial purposes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be a small business concern as defined in SBA regulations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Self certification that the firm qualifies as a small business.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants should fill out all elements of the Company Profile Form (SBA 1167) with the signature of company Executive Officer.

**Application Procedure:** Application for registration should be mailed to the nearest SBA Regional Office on SBA Form 1167, which may be obtainable from any SBA office.

**Award Procedure:** Applicant is notified of "on-line" status in the PASS data base by card from the Associate Administrator for Procurement Assistance.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Requires approximately 45 days for capabilities of firm to be computerized and "on-line" in the data base.

**Appeals:** None.

**Renewals:** Computer printout of company profile mailed to each registered firm every 12 months for validation, minor changes or major revision of company capabilities.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** None.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Salaries and expenses) FY 81 est $786,000; FY 82 est $903,000; and FY 83 est $903,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** More than 62,000 small firms are registered; 100 locations have direct access.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Procurement Automated Source System-Company Profile" obtainable from any SBA office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of this Catalog for a listing of Regional offices.

**Headquarters Office:** Joseph E. Kernan, Chief, Technology Assistance Division, Small Business Administration, 1441 L St., N.W., Washington, DC 20416. Telephone: (202) 653-6938.

**RELATED PROGRAMS:** 59.009, Procurement and Technical Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.036 CERTIFIED DEVELOPMENT COMPANY LOANS

### (503 Loans)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Investment Act of 1958, as amended, Title V, Section 503, Public Law 85-699, 15 U.S.C. 696.

**OBJECTIVES:** To assist small business concerns by providing long term financing through the sale of debentures by the Federal Financing Bank.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loans are to assist small businesses in the acquisition of land and buildings, construction, expansion, renovation and modernization, machinery and equipment. Loans may not exceed 25 years.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Certified Development Companies must be incorporated under general State corporation statute, either on a profit or nonprofit basis, for the purpose of promoting economic growth in a particular area.

**Beneficiary Eligibility:** Small businesses independently owned and operated for a profit. More specific criteria defining a small business are established by the Small Business Administration.

**Credentials/Documentation:** The application should include the following information: 1) name and address of applicant; 2) type of Certified Development Company (CDC), State or local; 3) area of operation; 4) list of members or stockholders with address, occupation and telephone number; 5) list of officers and directors; 6) SBA Form 912 on all officers and directors; 7) certified statement that no member of stockholder controls more than 10 percent of the voting control; 8) a brief resume on each officer and director; 9) the name of each individual who provides the CDC with the professional staff capability (packaging, processing, closing services, legal and accounting); 10) if contracted out, a copy of the contract is required to be submitted to SBA; 11) proof of compliance of representatives from at least two of local government, private sector lending institution, community organization and business organization; 12) an organization chart and operating plan; 13) a flow chart on the CDC (evaluating, packaging, processing, closing and servicing functions); 14) address and description of the place of business, telephone number and financial statements; 15) the CDCs charter and certified by-laws; 16) articles certified by the State; 17) a resolution of the Board of Directors certified by a corporate officer in which a company resolves to become a CDC, it should name the person who is authorized to execute all documents; 18) SBA Form 1258, which is a Section 503 certification agreement.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Approval by a Certified Development Company.

**Application Procedure:** Application must be made on SBA Form 1246 and requirements set forth thereon must be fully complied with by the Certified Development Company and the small business being assisted.

**Award Procedure:** Applicant is notified in writing by the SBA Office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Within 37 working days after acceptance of application.

**Appeals:** Requests for reconsideration of a declined loan will be granted at any time within 6 months from the date of decline, providing that reasonable evidence is submitted to substantially overcome the stated reasons for decline.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Generally 10 percent of the project cost must be injected by the Certified Development Company. This injection may come from a variety of sources including the small business concern being assisted.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual financial, management and operating reports from the Certified Development Company.

**Audits:** Small Business Administration shall have the right to conduct an audit of the books of the Certified Development Company and the small business concern at its discretion.

**Records:** During the term of the loan both the Certified Development Company and the small business concern assisted must maintain financial records and information adequately reflecting all transactions and results of operations.

**FINANCIAL INFORMATION:**

**Account Identification:** 73-4154-0-3-376.

**Obligations:** (Guaranteed loans) FY 1981 $22,212,000; FY 1982 and FY 1983 obligations in estimate for programs 59.008.

**Range and Average of Financial Assistance:** Up to $500,000; Average not yet available.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, 101 loans valued at $16,322,550 were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SBA Rules and Regulations, Section 108.503; Certified Development Company Program - Program Guide.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Office of Lender Relations and Certification, Small Business Administration, Rm. 720, 1441 L St., N.W. Washington, DC 20416.

**RELATED PROGRAMS:** 59.013, State and Local Development Company Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 59.037 SMALL BUSINESS DEVELOPMENT CENTER

### (SBDC)

**FEDERAL AGENCY:** SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:** Small Business Act, as amended, Section 21, Public Law 96-302.

**OBJECTIVES:** To provide management counseling, training, and technical assistance to the small business community through Small Business Development Centers (SBDCs).

**TYPES OF ASSISTANCE:** Project Grants; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Funds restricted to the use of assisting small businesses.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** The Administration is authorized to make grants (including contracts and cooperative agreements) to any State government or any agency thereof, any regional entity, any State-chartered development, credit or finance corporation, any public or private institution of higher education, including but not limited to any land-grant college or university, any college or school of business, engineering, commerce, or agriculture, community college or junior college, or to any entity formed by two or more of the above entities.

**Beneficiary Eligibility:** Small business persons. Those not eligible include small business persons who can afford to obtain assistance from private consultants.

**Credentials/Documentation:** Documentation must include approval and support of the proposal from the State government. Documentation should also include, but not limited to: (a) a copy of State authorizing legislation or other authorizing documentation; (b) endorsement of the proposal by State officials; (c) endorsement of the proposal by the university hierarchy; and (d) a statement of commitment by the agencies and organizations listed as resources in the proposal.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Submission of proposal (including State endorsement) to the Central Office of SBA. This program is subject to the provisions of OMB Circulars No. A-102 or A-110.

**Application Procedure:** All eligible entities within a State interested in establishing an SBDC should coordinate their plans and submit their proposal to SBA's Central Office.

**Award Procedure:** Central Office of SBA makes cooperative agreements to approved applicants.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies with individual proposals.

**Appeals:** Varies with individual proposals.

**Renewals:** This program is on-going and is renewed annually. SBDCs are required to update their plan and submit a current year budget.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** The SBA will provide funds, the amount being determined on a pro-rate share of $65,000,000 based on population to be served by the SBDC as compared to the total population in the United States, or $200,000 whichever is greater. The entity will provide matching non-Federal funds.

**Length and Time Phasing of Assistance:** Cooperative agreements are usually limited to one year. Payments are made on a letter of credit basis.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Quarterly reports to the local SBA office no later than 30 days following the end of the quarter. A final report is due 90 days after the end of the project.

**Audits:** All grants are subject to periodic inspection and audit by Federal auditors to assure proper accounting and use of grant funds. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** The SBDC shall maintain detailed, complete, and accurate client activity records of a sufficiency to reflect clearly the nature and variety of the SBDC service provided. Financial records must be maintained until 3 years after the completion of the grant project or submission of the final report, whichever is later.

FINANCIAL INFORMATION:

**Account Identification:** 73-0100-0-1-376.

**Obligations:** (Grants) FY 81 est $8,060,938; FY 82 est $8,500,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** $205,000 to $762,000; $400,000.

PROGRAM ACCOMPLISHMENTS: Currently there are 19 SBDCs in 18 States and the District of Columbia.

REGULATIONS, GUIDELINES, AND LITERATURE: SBDC Policy Manual, SBDC Guidelines, and SBD Fact Sheet 43.

INFORMATION CONTACTS:

**Regional or Local Office:** For reference to the field offices, see address Appendix IV of the Catalog.

**Headquarters Office:** Small Business Administration, Small Business Development Center, 1441 L Street, N.W. Rm. 602, Washington, DC 20416.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: None.

CRITERIA FOR SELECTING PROPOSALS: 1. State approval; 2. ability to match funds; and, 3. ability to provide technical assistance and counseling.

# SMITHSONIAN INSTITUTION

## 60.001 SMITHSONIAN INSTITUTION PROGRAMS IN BASIC RESEARCH IN COLLABORATION WITH SMITHSONIAN INSTITUTION STAFF

### (Smithsonian)

**FEDERAL AGENCY:** SMITHSONIAN INSTITUTION

**AUTHORIZATION:** Acts of Congress approved July 1, 1836, and August 10, 1846; 20 U.S.C. 41 et seq. The Smithsonian is an independent establishment created by act of Congress in 1846 to carry out the trust responsibilities of the United States accepted under the terms of the will of James Smithson of England who bequeathed his property to the United States "to found at Washington, under the name of the Smithsonian Institution, an establishment for the increase and diffusion of knowledge among men." Responsibility for the management of the Institution is entrusted to a Board of Regents composed of the Chief Justice, who serves as Chancellor, the Vice President, three members of the Senate, three members of the House of Representatives, and nine private citizens. The Secretary of the Smithsonian Institution serves as its chief executive officer. Although the Smithsonian is not a "Federal Agency" as defined in this Catalog, as a convenience to the public, several of its programs which offer stipends, formal instruction, or specific benefits are reported.

**OBJECTIVES:** To make available to qualified investigators at various levels of educational accomplishment, the facilities, collections, and professional staff of the Smithsonian.

**TYPES OF ASSISTANCE:** Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:** Research appointments are offered in the fields of anthropology, natural history, environmental science and ecological processes, tropical biology, African art and culture, astrophysics and related topics, history of science and technology, American culture and history, and art history. Appointees use Smithsonian resources and have access to staff consultation and advice. A limited number of stipends are available.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Appointments are available to advanced students and scholars intending to pursue research and study which relates to Smithsonian collections and research interests of the professional staff.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Varies with appointment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** See individual program components described in "Smithsonian Opportunities for Research and Study" or write directly to information contact listed below.

**Application Procedure:** Write directly to the information contact listed below describing the proposed project.

**Award Procedure:** Procedures vary but generally award must be approved by staff members and a selection committee.

**Deadlines:** Pre- and postdoctoral appointments with stipends have an application deadline of January 15, and visiting graduate appointments with stipends have an application deadline of January 15.

**Range of Approval/Disapproval Time:** Generally within three months.

**Appeals:** Not applicable.

**Renewals:** Procedures vary but opportunity for continuance sometimes exists.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Usually a year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Resulting publications and/or reports are requested.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 33-0100-0-1-503.

**Obligations:** (Fellowships and grants): FY 81 $118,900; FY 82 est $136,000; and FY 1983 $116,600. Since the beginning of FY 79, the costs of this program have been met primarily with non-appropriated trust funds at approximately the funding level of $1,010,000.

**Range and Average of Financial Assistance:** Range from a modest sum for brief visits to $9,500 a year for appointments, $17,000 a year for postdoctoral appointments, and higher a year for the occasional distinguished senior fellowship.

**PROGRAM ACCOMPLISHMENTS:** Received over 400 research training fellowships applications during FY 81 and of that number 80 awards were granted. Of the 325 applications received during FY 1982, as of August 25, 1981, 17 awards were granted. For the remainder of FY 1981, no applications were received versus an estimated 23 awards. For FY 1982, estimated 400 applications are expected versus 42 awards. Under the short-term programs, during FY 1981, 46 honoraria were awarded as of September 30, 1981, and 50 for FY 1982. During 1981, as in every year, scholars, scientists, and students are visiting Smithsonian research facilities without fellowship support from the Institution. These visitors spend from a week to a year and occasionally more conducting their studies and research with the professional assistance and guidance of Smithsonian staff members.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Smithsonian Opportunities for Research and Study" and an Academic Internship program description available from the Office of Fellowships and Grants of the Smithsonian; "Smithsonian Year" available from Smithsonian Institution Press.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Catherine F. Harris, Administrative Officer, Office of Fellowships and Grants, Room 3300, 955 L'Enfant Plaza, Smithsonian Institution, Washington, DC 20560. Telephone: (202) 287-3271 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 11.651, Science Information Exchange, Inc.; 39.004, National Archives Reference Services; 42.006, Library of Congress Research Services; 43.001, Aerospace Education Services Project; 45.113, Promotion of the Humanities—Program Development; 60.007, Museums—Assistance and Advice; 60.013, Smithsonian Institution Traveling Exhibition Service; 60.016, Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities; 60.020, Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs; 68.001, National Gallery of Art Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** Funded projects include: (1) Lobby for equality; Anita Pollitzer and the National Woman's Party, 1920-1960; (2) Research on problems related to magnetic fields in the solar corona; (3) American steam locomotives; an engineering history, 1900-1953; (4) Chou Liang-kung (1612-1672) and his painter-friends; mid 17th century Chinese painting; and (5) Influence of habitat structure on the size and composition of schools of Caribbean acanthurids.

**CRITERIA FOR SELECTING PROPOSALS:** Qualifications of fellowship applicants; merit of the project; and suitability of Smithsonian Institution facilities for the conduct of the project.

## 60.007 MUSEUMS—ASSISTANCE AND ADVICE

### (National Museum Act Programs)

**FEDERAL AGENCY:** SMITHSONIAN INSTITUTION

**AUTHORIZATION:** Acts of Congress approved July 1, 1836 and August 10, 1846; 20 U.S.C. 41 et seq; National Museum Act of

1966; Public Law 89-674; 80 Stat. 953; 20 U.S.C. 65a (See also Authorization of 60.001).

**OBJECTIVES:** To support the study of museum problems, to encourage training of museum personnel, to assist research in museum techniques, with emphasis on museum conservation.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** National Museum Act funds may be granted for specific proposals which advance the museum profession either through research, publication, or training. Every proposal funded by the National Museum Act must clearly demonstrate how it will upgrade the museum profession--its techniques, methods, and approaches. Grants cannot be awarded for the construction or renovation of museum buildings and facilities, for purchase of equipment or acquisitions, or for general operating expenses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Museums including zoos, planetaria, herbaria, and botanical garders, nonprofit museum-related organizations and academic institutions; and individuals employeo or sponsored by any of these organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Justification for the expected accomplishments of requested assistance.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary applications or inquiries encouraged.

**Application Procedure:** Application Procedures for Project Support are described in National Museum Act Guidelines.

**Award Procedure:** All applications are reviewed by an Advisory Council. The Secretary of the Smithsonian awards funds to successful applicants.

**Deadlines:** Professional Training in Conservation and Museum Practices (including support for graduate/professional education and training, museum internships, and stipends for conservation studies) --September 1; Special Studies and Research in Conservation and Museum Techniques--December 1; Professional Assistance in Conservation and Museum Practices (including support for special studies and research, seminars, and services to the field) -- December 1.

**Range of Approval/Disapproval Time:** Generally 6 months.

**Appeals:** Not applicable.

**Renewals:** Project renewals must follow the same procedure as new applications. Extensions granted upon written request and justification.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Depending on nature of program.

**Length and Time Phasing of Assistance:** Assistance is not normally available for a period longer than a year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly and final progress reports and fiscal reports are required.

**Audits:** All projects are subject to the Smithsonian Institution audit. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and functions, and for programs covered by A-102, Attachment P.

**Records:** As required by the Smithsonian Institution and appropriate schedules of the General Accounting Office.

**FINANCIAL INFORMATION:**

**Account Identification:** 33-0100-0-1-503.

**Obligations:** (Grants) FY 81 $715,907; FY 82 est $676,000; and FY 83 est $678,000.

**Range and Average of Financial Assistance:** FY 1981: $549 to $50,000; $12,784; FY 1982: $1,000 to $50,000; $12,200.

**PROGRAM ACCOMPLISHMENTS:** From fiscal year 1972 through mid fiscal year 1982, 581 grants have been awarded in the areas of training (in-service and new personnel), publications, and research projects. Of these grants, 244 were conservation related. Received 183 applications during FY 1981 with requests totaling $3,426,316. Of those applications, 58 awards were granted totaling $715,907. For FY 1982, 138 applications have been received with requests totaling $3,148,445. Of these through January, 1982, 35 were granted totaling $389,000. In March 55 applications will be reviewed. For the remainder of FY 1982, no more applications will be accepted nor awards granted. For FY 1983, estimate 138 applications versus 45 awards. Through these grants, the National Museum Act has sponsored 438 projects in the area of training; 65 in the area of special studies and research; and 70 in the area of professional assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Guidelines for the National Museum Act Programs" and "Report on Grants 1972-1978." A 1979-1981 list of grants is available also.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Mailing address: Program Coordinator, National Museum Act, Office of Museum Programs, Smithsonian Institution, Washington, DC 20560. Telephone: (202) 357-2257. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 45.012, Promotion of the Arts—Museums; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Institutions; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff; 60.013, Smithsonian Institution Traveling Exhibition Service; 60.016, Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities.

**EXAMPLES OF FUNDED PROJECTS:** Professional Assistance Program grants to an association of collections to support a program for dissemination of information to the natural history museum community on wildlife laws and regulations at the State, national, and international level affecting the acquisition, transport, and maintenance of biological specimens. Special Studies and Research Program grant to a North Carolina state university to study the physical and chemical characteristics of degraded historic textiles with emphasis on the identification of suitable polymer resin systems for consolidation of textiles. Professional Training Program grants to: (1) The National Trust for Historic Preservation for a four-week seminar on historical administration for beginning professionals; (2) the conservation center of a New York university, for stipends for graduate and postgraduate students undertaking training in art conservation.

**CRITERIA FOR SELECTING PROPOSALS:** Selection of proposals for funding is based on the merit of the project, the qualifications of the principal investigator and institution, the importance of the project to the museum field, and the cost. Priority is given to proposals dealing with museum conservation.

## 60.013 SMITHSONIAN INSTITUTION TRAVELING EXHIBITION SERVICE

### (SITES)

**FEDERAL AGENCY:** SMITHSONIAN INSTITUTION

**AUTHORIZATION:** Acts of Congress approved July 1, 1836 and August 10, 1846; 20 U.S.C. 41 et seq (see also Authorization of 60.001).

**OBJECTIVES:** To provide a public service by the circulation of exhibitions on a wide range of subjects throughout the United States and abroad.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** A broad range of exhibitions available to museums of all sizes and character, art galleries, and educational organizations and institutions. Exhibitions of both flat and 3D materials. Occasional supplementary lectures and films. May be used for educational purposes only. No special admission may be charged by borrowing organization without prior approval by the Smithsonian Institution Traveling Exhibition Service.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals or groups.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Borrowers must satisfy requirements of appropriate space, lighting, environmental controls, police and fire protection, and handling of exhibitions to qualify as a borrower from the Smithsonian Traveling Exhibition Service.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A catalog, published yearly, is available without cost on request.

**Application Procedure:** Written. A signed contract is required of the exhibitor before each booking. Forms and details furnished upon request.

**Award Procedure:** Not applicable.

**Deadlines:** Most available immediately.

**Range of Approval/Disapproval Time:** Varies according to exhibition and requesters' requirements.

**Appeals:** Not applicable.

**Renewals:** Exhibitions are offered for 4-week periods unless otherwise specified. Upon request extended or double bookings can be arranged.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The borrower pays rental, protection, and outgoing transportation costs.

**Length and Time Phasing of Assistance:** See Renewals above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Publicity: The borrower agrees to give credit to SITES, as well as to designated lenders, organizers, and/or sponsors of the exhibition, in all acknowledgements, press releases, and catalogs. The borrower agrees to send SITES copies of all press clippings for forwarding to the lenders. Borrower agrees to furnish condition reports on receipt of exhibition and further agrees to wire or phone SITES in case of any change (damage, theft, etc.) during exhibition period.

**Audits:** As called for in contract. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** As called for in contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 33-0100-0-1-503.

**Obligations:** (Salaries and Expenses) FY 81 $192,000; FY 82 est $250,000; and FY 83 est $259,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Circulated 150 individual exhibitions throughout the United States and Canada during FY 1980. The same number are circulating during FY 1981. Exhibitions move about 6 times a year so over 680 showings a year are reviewed by millions of people. Estimate the same number of showings for FY 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Exhibitions listings; Quarterly Newsletter; individual exhibition information sheets, individual exhibition catalogs; "Smithsonian Year"; and a publications catalog.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Antonio Diez, Assistant Director for Program Analysis, Smithsonian Institution Traveling Exhibition Service, Office of Museum Programs, Smithsonian Institution, Washington, DC 20560. Telephone: (202) 357-3167 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 43.001, Aerospace Education Services Project; 45.007, Promotion of the Arts—State Programs/Partnership Coordination; 45.125, Promotion of the Humanities—Humanities Projects in Museums and Historical Institutions; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff; 60.007, Museums—Assistance and Advice; 68.001, National Gallery of Art Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Exhibitors' facilities must be able to meet Smithsonian's security requirements.

## 60.016 SMITHSONIAN SPECIAL FOREIGN CURRENCY GRANTS FOR MUSEUM PROGRAMS, SCIENTIFIC AND CULTURAL RESEARCH AND RELATED EDUCATIONAL ACTIVITIES

### (Special Foreign Currency Program)

**FEDERAL AGENCY:** SMITHSONIAN INSTITUTION

**AUTHORIZATION:** Acts of Congress approved July 1, 1836 and August 10, 1846; 20 U.S.C. 41 et seq., Public Law 480, as amended, annual appropriations of foreign excess currencies, the program currently operated under Section 104(b) (3), Public Law 480 (See also Authorization of 60.001).

**OBJECTIVES:** To support the research activities of American institutions of higher learning through grants in countries where the U.S. Treasury has determined that the United States holds currencies in excess to its needs as a result of commodity sales under Public Law 480. Limited funds are available for travel to professional meetings.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grants in the form of a contract between the Smithsonian and the grantee American institution of higher learning are awarded for basic research in subjects of Smithsonian competence: anthropology and archeology and related disciplines, systematic and environmental biology, astrophysics and earth sciences, and museum programs. Projects may be binational with the American grantee institution collaborating with an institution in the host country. Only legitimate costs of research which can be met with foreign currencies expended in the country where the research is being carried out are authorized. Funds can be used for such things as: international travel of project personnel, domestic transportation within the country where the research is being carried out, salaries of project personnel, food, lodging, temporary field shelters (but not permanent structures), and scientific instruments or equipment. The objective of each project must be basic research by established scholars. Results will be published. The training of graduate students may be included.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All American institutions of higher learning are eligible. Universities, colleges, museums, and research institutions, incorporated in any one of the 50 states or the District of Columbia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not required, but consultation with program staff is desirable.

**Application Procedure:** Submission of a research proposal. The desired format and related information is described in the Program Announcement which will be furnished to any interested party.

**Award Procedure:** Awarded by the Smithsonian Foreign Currency Program on the basis of review by qualified scientists, including members of SFCP's Advisory Councils.

**Deadlines:** (1) Anthropology and Archeology and Related Disciplines-November 1; (2) Systematic and Environmental Biology-November 1; (3) Astrophysics and Earth Sciences-November 1; and (4) Museum Programs-November 1.

**Range of Approval/Disapproval Time:** 3 to 4 months after deadlines.

**Appeals:** Not applicable.

**Renewals:** Annual. Renewal proposals must include research progress report and financial report on the prior grant, and statement of next objectives of project.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantee must provide any hard currency required to perform the project since the program has only excess foreign currencies and no dollars available.

**Length and Time Phasing of Assistance:** Varies--depends upon the objective to be accomplished.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Interim and final financial reports on the use of the funds are required, as well as substantive reports on the results of the research; the results of the research must be published for the scientific community in appropriate scientific and professional journals.

**Audits:** As required by the specific project. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Records of costs and related receipts in the administration of the project during its life and for 3 years after close out.

**FINANCIAL INFORMATION:**

**Account Identification:** 33-0102-0-1-503.

**Obligations:** (Gross obligations for research, in dollar equivalents of excess foreign currencies) FY 81 $2,666,000; FY 82 est $3,541,000 (obligated to February 1, 1982, $480,000); and FY 83 est $2,000,000.

**Range and Average of Financial Assistance:** Most grants are within $3,000 to $50,000.

**PROGRAM ACCOMPLISHMENTS:** Received 100 proposals during FY 1981 for research in Egypt, India, Pakistan, and Burma by scientists of U.S. institutions in the fields of archeology, anthropology, biology, astrophysics, earth sciences, and museum professional activities. Of the proposal, 67 awards were granted. The program estimates 75 awards in FY 1982 from 120 proposals. For FY 1983, estimates 100 proposals versus 50 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Announcement, Administration of Smithsonian Foreign Currency Program Grants. Programs further described in: "Smithsonian Year"; "Smithsonian Opportunites for Research and Study"; Inventory of Federal Programs Involving Educational Activities Concerned with Improving International Understanding and Cooperation, Office of Education, HEW; Foreign Affairs Research Directory of Government Resources, Office of External Research, Department of State.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Francine Berkowitz, Program Specialist, Smithsonian Foreign Currency Program, Office of Fellowships and Grants, Smithsonian Institution, Washington, DC 20560. Telephone: (202) 287-3321 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff; 60.007, Museums—Assistance and Advice.

**EXAMPLES OF FUNDED PROJECTS:** Funded projects include: 1) Prehistoric archeological investigation in the Egyptian desert; 2) Photographic documentation of Indian temples and monuments; 3) Hominoid evolution in South Asia; 4) Geomorphology of the Egyptian desert; and 5) Survey of folk puppet traditions in Africa and Asia.

**CRITERIA FOR SELECTING PROPOSALS:** Scholarly merit; qualifications of principal investigators and staff.

## 60.020 WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS—FELLOWSHIPS AND GUEST SCHOLAR PROGRAMS

**FEDERAL AGENCY:** SMITHSONIAN INSTITUTION

**AUTHORIZATION:** Acts of Congress approved July 1, 1836 and August 10, 1846; 20 U.S.C. 41 et seq. By Act of Congress approved October 24, 1968, the Center was placed in the Smithsonian Institution under the direction of a 15-person Board of Trustees, (increased to 16 in PL-95-426) with one half to be drawn from private life. 20 U.S.C. 80 et seq. (see also Authorization of 60.001).

**OBJECTIVES:** The theme of the fellowship program is designed to accentuate aspects of Wilson's ideals and concerns for which he is perhaps best known--his search for international peace and his imaginative new approaches in meeting the pressing issues of his day--translated into current terms.

**TYPES OF ASSISTANCE:** Project Grants; Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Fellowship--Fellows will be provided with furnished offices in the Smithsonian Institution Building. Stipends will be provided by the Center to help meet the Fellows' previous year's salary rate. These stipends are based on the principle that the fellowship should not involve financial loss or gain to the recipient. Certain travel expenses also will be available. Guest Scholar Program-Accommodations, facilities, and services of the Center and its staff will be made available for short-term use by distinguished guest scholars on arrangement with the Director of the Center. The Board has determined that there will be a spirit of complete freedom of inquiry in all scholarly work done at the Center.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Up to 40 scholars--approximately two thirds from the United States and one third from other countries--will be selected to work at the Center. They will be chosen from academic and nonacademic occupations and professions. Limited to established scholars at the postdoctoral level (or equivalent). There will be no higher degree requirements for non-academic fellows, but professional standing, writings, honors, and advanced degrees will be considered.

**Beneficiary Eligibility:** Emphasis will be placed on studies designed to increase understanding of significant international, governmental, and social problems.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application forms are available by writing to the Center. In extending fellowships, the following criteria will be used: (1) scholarly capabilities and promise in areas of primary interest to the Center; (2) likelihood of contributing the complementary experience and knowledge needed for a lively and productive intellectual community; (3) relevance of Washington area intellectual resources or people to proposed areas of study; and (4) thorough speaking and writing knowledge of English.

**Award Procedure:** Final decision on appointments made by Selection Subcommittee of Board of Trustees. Notices of invitation sent out in February by the Director of the Center.

**Deadlines:** Annually: October 1.

**Range of Approval/Disapproval Time:** Within 130 days after the deadline.

**Appeals:** All applications not approved may be considered for resubmission following consultation with the Wilson Center staff. Normal policy, however, is to require a three year interval between submissions.

**Renewals:** Written requests for extensions are considered by the Director.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Fellows will be asked in the first instance to seek financial support from their own institution, government, foundation, or other sources.

**Length and Time Phasing of Assistance:** From 4 months to 1 year. (Time phasing of assistance not applicable.)

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 33-0400-0-1-503.

**Obligations:** (Funding of fellowships from Federal funds) FY 81 $891,000; FY 82 est $926,000; and FY 83 est $1,046,000.

**Range and Average of Financial Assistance:** Within the limits set by the Board of Trustees, based on fellow's previous year's salary and on principle that fellowship should not involve financial loss or gain to the recipient.

**PROGRAM ACCOMPLISHMENTS:** From its opening in October 1970 through fiscal year 1981, the Board of Trustees has approved 397 fellowship appointments. Of the 394 proposals received in fiscal year 1981, 47 awards were made. The same number of proposals versus awards are estimated for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Information leaflets; "Smithsonian Year;" "Smithsonian Opportunities for Research and Studies."

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Ann Sheffield, Assistant Director for Fellowships, Woodrow Wilson International Center for Scholars, Smithsonian Institution Building, Washington, DC 20560. Telephone: (202) 357-2841, (Use same 7-digit number for FTS). Cable: WILCEN.

**RELATED PROGRAMS:** 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff.

**EXAMPLES OF FUNDED PROJECTS:** 1. Dr. Reinhard Bendix, Professor of Political Science, University of California, Berkeley (Topic: Authority and inequality in comparative historical perspective); 2. John J. Gilligan, former Governor of Ohio (Topic: Intelligent citizen participation in the face of growing complexity and certain adverse effects of the media and the present political process); 3. Robert J. Donovan, Author, Journalist (Topic: National security policy in President Harry S Truman's second term in office - 1949-1953); 4. Geoffrey F. A. Best, United Kingdom, Professor of History, School of European Studies, University of Sussex (Topic: Humanity in warfare: The modern history of the endeavor to control war by legal limitations and restraints); 5. Bronislaw Geremek, Poland, Director, Center of Medieval Studies, Institute of History, Academy of Sciences, Warsaw (Topic: Social marginality in the pre-industrial age).

**CRITERIA FOR SELECTING PROPOSALS:** The applicant's educational qualifications and prior record of achievement as indicated by publications are considered; however, the basic determining factor is the quality and scholarly rigor of his/her proposal as judged by a panel of academic peers.

## 61.001 IMPORT RELIEF (INDUSTRY)
## (Escape Clause)

**FEDERAL AGENCY:** U.S. INTERNATIONAL TRADE COMMISSION

**AUTHORIZATION:** Title II of the Trade Act of 1974; Public Law 93-618; 19 U.S.C. 2251, et seq.

**OBJECTIVES:** To provide tariff adjustment and import quotas for industries and/or adjustment assistance to firms and workers in industries adversely affected by imports.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** On the basis of the research and findings of the International Trade Commission, the President may impose temporary import restrictions to protect industries adversely affected by imports. Affected firms and individuals may also be authorized to apply for the assistance offered in 11.309, Trade Adjustment Assistance and 17.400, Trade Adjustment Assistance-Worker.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Action may be initiated by the President of the United States, the U.S. Trade Representative, the Committee on Finance of the Senate, the Committee on Ways and Means of the House of Representatives, the International Trade Commission, or a trade association, firm, certified or recognized union, or group of workers representative of an industry producing an article like or directly competitive with a foreign article which it is claimed is being imported into the United States in such increased quantities as to be a substantial cause of serious injury, or the threat thereof, to the domestic industry.

**Beneficiary Eligibility:** Industries found by the International Trade Commission and the President to have been so injured.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None required; a conference with the staff of the International Trade Commission is recommended.

**Application Procedure:** Petition submitted to the Secretary, U. S. International Trade Commission in accordance with the Commission's Rules of Practice and Procedure, particularly Part 206, subpart B. (Not applicable in cases instituted by direction of the President, Committee on Finance of the Senate, Committee on Ways and Means of the House of Representatives, or by the Commission on its own motion.)

**Award Procedure:** The International Trade Commission investigates the circumstances and reports to the President. The President makes final decisions as to any import relief to be provided.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** International Trade Commission investigation is completed within six months of initiation; Presidential action is within 60 days of receipt of Commission's affirmative report.

**Appeals:** The President's decision, if at variance with the International Trade Commission's recommendation, can be overruled by a majority of both houses of Congress. Judicial appeals are to the U.S. Court of International Trade in New York, formerly the U.S. Customs Court.

**Renewals:** Generally not permitted within 1 year after submission of International Trade Commission report to the President.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** International Trade Commission review of increased or additional import restrictions imposed by the President required by Section 203 (i) of the Trade Act of 1974.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 34-0100-0-1-153.

**Obligations:** (Salaries and expenses) FY 81 $686,000; FY 82 est $809,000; and FY 83 est $859,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Commission completed one investigation. The Commission made a negative determination.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 19 CFR 206.1-206.20. U.S. International Trade Commission Rules of Practice and Procedure.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Kenneth R. Mason, Secretary, U.S. International Trade Commission, 701 E Street, N.W., Washington, DC 20436. Telephone: (202) 523-0161. This office should be the initial contact of a prospective applicant.

**RELATED PROGRAMS:** 11.106, Antidumping Duties; 11.107, Countervailing Duty on Imports.

**EXAMPLES OF FUNDED PROJECTS:** Projects do not receive funds. All expenditures are for the investigations conducted by the USITC.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# TENNESSEE VALLEY AUTHORITY

## 62.001 NATIONAL FERTILIZER DEVELOPMENT

**FEDERAL AGENCY:** TENNESSEE VALLEY AUTHORITY

**AUTHORIZATION:** Tennessee Valley Authority Act of 1933 as amended; 16 U.S.C. 831 et seq; 48 Stat. 58.

**OBJECTIVES:** To develop improved, cheaper fertilizer products and processes and to improve U. S. Agriculture.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods; Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** This program provides for technical information, advice, and assistance; non-exclusive patent licenses; fertilizer materials under partial pay arrangements for tests, demonstrations, and education; and cooperative contracts with land-grant colleges.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Land-grant colleges, fertilizer industry firms, and farmers may participate when fertilizers are available and suitable to the area and structure of organizational relationships. Fertilizer manufacturers and distributors may procure fertilizers for introductory programs. Patent licenses are available to fertilizer industry. Agricultural research stations and extension services may take part on a cooperative contract basis.

**Beneficiary Eligibility:** Ultimate beneficiaries are the farmers of the United States.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** In cooperative contracts with land-grant colleges, institution's contribution depends on conditions contained in the specific contract.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None unless agreed upon during application process.

**Audits:** Depends on specific situation.

**Records:** Depends on specific situation.

**FINANCIAL INFORMATION:**

**Account Identification:** 64-4110-0-3-999.

**Obligations:** (Salaries and expenses) FY 81 $28,896,000; FY 82 est $32,622,000; and FY 83 est $31,403,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Licenses to use 242 TVA patents have been granted to 387 firms for use in 573 plants in 39 States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** No published regulations or guidelines. "Fertilizer Science and the American Farmer" available from TVA Information Office, Knoxville, TN 37902.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** William F. Willis, General Manager, Tennessee Valley Authority, Knoxville, TN 37902. Telephone: (615) 632-2101, FTS 852-2101.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 62.004 TENNESSEE VALLEY REGION—ECONOMIC AND COMMUNITY DEVELOPMENT

**FEDERAL AGENCY:** TENNESSEE VALLEY AUTHORITY

**AUTHORIZATION:** Tennessee Valley Authority Act of 1933 as amended; 16 U.S.C. 831 et seq; 48 Stat. 58.

**OBJECTIVES:** To promote the use, conservation, and development of the human and economic resources of the Tennessee Valley and related adjoining territory; to improve the economic and social well-being of the people of the region; and to demonstrate new approaches to national development goals.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Development of local economies through community planning, navigation and industrial development; minority economic development; downtown revitalization planning; regional development planning; industrial skills development; solid waste management; and flood prevention assistance. In limited special situations, financial assistance is available to help cover administrative costs of local development programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Within the Tennessee Valley, officers and agencies of State, county, and municipal governments; quasi-public agencies; and private organizations, individuals, and business firms and associations may seek technical advice and assistance in community resource development.

**Beneficiary Eligibility:** Ultimate beneficiaries are the people of the Tennessee Valley region at large.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None unless agreed upon during application process.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 64-4110-0-3-999.

**Obligations:** (Salaries and expenses) FY 81 $14,322,000; FY 82 est $16,444,000; and FY 83 est $13,400,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Accomplishments of program measurable through a wide range of social, economic, and demographic indicators, such as change in income and education levels, changes in employment mix, or population mobility.

**REGULATIONS, GUIDELINES, AND LITERATURE:** No published regulations or guidelines. For literature relative to specific resource development activities, contact TVA Information Office, Knoxville, TN 37902.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** William F. Willis, General Manager, Tennessee Valley Authority, Knoxville, TN 37902. Telephone: (615) 632-2101, FTS 852-2101.

**RELATED PROGRAMS:** 10.414, Resource Conservation and Development Loans; 62.001, National Fertilizer Development; 62.005, Tennessee Valley Region—Natural Resources Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 62.005 TENNESSEE VALLEY REGION—NATURAL RESOURCES DEVELOPMENT

**FEDERAL AGENCY:** TENNESSEE VALLEY AUTHORITY

**AUTHORIZATION:** Tennessee Valley Authority Act of 1933 as amended; 16 U.S.C. 831 et seq; 48 Stat. 58.

**OBJECTIVES:** To promote the use, conservation, and development of the natural resources of the Tennessee Valley and related adjoining territory; to analyze and report findings relating to environmental quality, water quality management, forestry, recreation development, and fish and wildlife development for the social, economic, and environmental benefits of the region and in the national interest.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Develop and conserve the natural resources including rivers, water resources, fisheries, forests, wildlife, recreation areas and natural areas in a manner respectful of environmental stewardship and further provide environmental education, mapping and analyses services throughout the Tennessee Valley Region as well as on The Land Between the Lakes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Officials and agencies of State, county, and municipal governments within the Tennessee Valley region; quasi-public agencies; and private organizations, individuals, and business firms and associations.

**Beneficiary Eligibility:** Members of the public at large in the Tennessee Valley region; users of electric power in the TVA power service area; flood-prone areas along the lower Ohio and Mississippi Rivers.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 64-4110-0-3-999.

**Obligations:** (Salaries and expenses) FY 81 $25,095,000; FY 82 est $29,940,000; and FY 83 est $34,310,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Accomplishments of program measurable through a wide range of physical, economic, and hydrologic indicators.

**REGULATIONS, GUIDELINES, AND LITERATURE:** No published regulations or guidelines. For literature relating to specific water resources development activities, contact TVA Information Office, Knoxville, TN 37902.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** William F. Willis, General Manager, Tennessee Valley Authority, Knoxville, TN 37902. Telephone: (615) 632-2101, FTS 852-2101.

**RELATED PROGRAMS:** 10.904, Watershed Protection and Flood Prevention; 15.804, Water Resources Investigations; 62.004, Tennessee Valley Region—Economic and Community Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 62.006 TENNESSEE VALLEY REGION—VALLEY AGRICULTURAL RESOURCES DEVELOPMENT

**FEDERAL AGENCY:** TENNESSEE VALLEY AUTHORITY

**AUTHORIZATION:** Tennessee Valley Authority Act of 1933 as amended; 16 U.S.C. 831 et seq; 48 Stat. 58.

**OBJECTIVES:** To promote the use, conservation, and development of the agricultural resources of the Tennessee Valley and related adjoining territory; to improve the economic, social, and environmental well-being of the people of the region; and to demonstrate new approaches to national development goals.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Development of Tennessee Valley agriculture, family farms, agricultural businesses, and specialty enterprises; technical assistance to valley development organizations; watershed restoration; and fertilizer trials and demonstrations. In limited special situations, financial assistance is available to help cover administrative costs of local development programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Within the Tennessee Valley, officers and agencies of State, county, and municipal governments; quasi-public agencies; and private organizations, individuals, and business firms and associations may seek technical advice and assistance in agricultural resource development.

**Beneficiary Eligibility:** Ultimate beneficiaries are the people of the Tennessee Valley region at large.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None unless agreed upon during application process.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 64-4110-0-3-999.

**Obligations:** (Salaries and expenses) FY 81 $4,457,000; FY 82 est $4,075,000; and FY 83 est $3,792,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Accomplishments of program measurable through a wide range of social, economic, and demographic indicators, such as change in education levels, changes in employment mix, or population mobility.

**REGULATIONS, GUIDELINES, AND LITERATURE:** No published regulations or guidelines. For literature relative to specific resource development activities, contact TVA Information Office, Knoxville, TN 37902.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** William F. Willis, General Manager, Tennessee Valley Authority, Knoxville, TN 37902. Telephone: (615) 632-2101, FTS 852-2101.

**RELATED PROGRAMS:** 10.414, Resource Conservation and Development Loans; 62.001, National Fertilizer Development; 62.005, Tennessee Valley Region—Natural Resources Development.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# VETERANS ADMINISTRATION

## DEPARTMENT OF MEDICINE AND SURGERY

### 64.001 BIOMEDICAL RESEARCH

### (Medical Research)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 4101.

**OBJECTIVES:** To support and enhance medical care for the veteran patient.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Medical research is an intramural activity conducted in VA medical centers and medical clinics. This is not an assistance program in the sense of providing grants or direct service to individual applicants. Assistance is provided in the larger context through staffing the operation of veterans medical centers and clinics with physicians or scientists at medical centers affiliated with medical schools, and research institutes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** In order to be eligible for medical research support an investigator must be salaried by the VA for at least a 5/8 time committment or have a 5/8 or more geographic time committment to a VA medical center, even if without compensation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Approval by local VA research committee.

**Award Procedure:** Not applicable.

**Deadlines:** April 15 and October 15.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Accepted for disapproved programs.

**Renewals:** By review of appropriate reviewing committee.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** 1 to 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Initial report, annual progress report, and terminal science information exchange reports. Full report and documentation when applying for review.

**Audits:** By Merit Review Boards and Evaluation Committees.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0161-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $133,349,000; FY 82 est $124,506,000; and FY 83 est $131,885,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1982, medical research programs were conducted at 121 VA installations, including medical centers, and independent outpatient clinics. Approximately 4,500 principal investigators participated in 5,440 research projects and contributed more than 5,300 articles to professional and scientific journals, and more than 1,300 books and book chapters.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Annual Report: Administrator of Veterans Affairs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest VA medical center listed in Appendix IV.

**Headquarters Office:** Director, Medical Research Service (151), Veterans Administration, Washington, DC 20420. Telephone: (202) 389-5041.

**RELATED PROGRAMS:** 13.375, Minority Biomedical Research Support; nd Social Sciences; 47.051, Biological, Behavioral, and Social Sciences.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

### 64.005 GRANTS TO STATES FOR CONSTRUCTION OF STATE HOME FACILITIES

### (State Home Construction)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 88-450, 89-311, 90-432, 91-178 93-82, 94-581, 95-62, 96-151, and 96-330; 38 U.S.C. 5031-5037.

**OBJECTIVES:** To assist states to construct State home facilities for furnishing domiciliary or nursing home care to veterans, and to expand, remodel, or alter existing buildings for furnishing domiciliary, nursing home, or hospital care to veterans in State homes.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds must be used for: The construction of new domiciliary or nursing home buildings; the expansion, remodeling, or alteration of existing buildings for the provision of domiciliary, nursing home, or hospital care in State homes, and the provision of initial equipment for any such buildings. Construction cost means the amount found by the Administrator to be necessary for a construction project, including architect fees, but excluding land acquisition costs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State may apply after assuring that the assisted facility will be operated by the State; and will be used primarily for veterans.

**Beneficiary Eligibility:** A veteran who meets VA and State admission criteria.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** (1) Consultation or assistance is available from Headquarters Office personnel to aid in the preparation of preapplication. (2) The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program (Standard Form 424, Exhibit 1, Preapplication for Federal Assistance, with attachments). (3) Applications are subject to State and area-wide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). (4) An environmental impact assessment is required for this program.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. (Standard Form 424, Exhibit 3, Application for Federal Assistance for Construction Programs, with attachments).

**Award Procedure:** Formal approval of the award of the assistance grant to the State is made by the Administrator of Veterans Affairs with program administered by Assistant Chief Medical Director for Extended Geriatrics and Care. When a specific award of funds is granted, increased, or decreased, notification of the awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** No application will be disapproved without the opportunity of a hearing.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Public Law 88-450, as amended by Public Laws 91-178, 93-82, and 95-62, 38 U.S.C. 5035(d)(2). No one State may receive in any fiscal year in the aggregate more than one-third of the amount appropriated in such fiscal year. Federal participation provides up to 65 percent of total project cost, with the State providing the remainder.

**Length and Time Phasing of Assistance:** Unlimited, reimbursement payments are made to the State based on Federal share of cost incurred.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Required in accordance with VA Regulations 6170-6177.

**Audits:** Under the total concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** Records should be maintained for a period of three years. If any claim or audit is started before the expiration of the 3 year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0181-0-1-703.

**Obligations:** (Grants) FY 81 $11,715; FY 82 est $19,267,000; and FY83 est $5,897,000.

**Range and Average of Financial Assistance:** $8,000 to $5,000,000; $1,449,394.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 13 applications were received, 9 grant awards were made, 7 conditional approvals were made, no applications were disapproved and 36 applications were pending approval at the end of the year. In the first four months of fiscal year 1982, 4 applications were received, 2 grants were awarded, and 1 conditional approvals were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Regulations 6170-6177, Grants to States for Construction of State Home Facilities.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Assistant Chief Medical Director for Geriatrics and Extended Care(182), Veterans Administration, Central Office, Washington, DC 20420. State Home Program Coordinator, Telephone: (202) 389-3679.

**RELATED PROGRAMS:** 64.014, Veterans State Domiciliary Care; 64.015, Veterans State Nursing Home Care; 64.016, Veterans State Hospital Care.

**EXAMPLES OF FUNDED PROJECTS:** 1) Construct new 120 bed State home nursing home building; 2) Construct new 100 bed State home domiciliary building; 3) Remodel existing State home nursing home building; 4) Remodel existing State home domiciliary building; and 5) Remodel existing State home hospital building.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are reviewed and awarded in the order received.

## 64.007 BLIND VETERANS REHABILITATION CENTERS

### (Blind Center)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 610 and 3021.

**OBJECTIVES:** To provide personal and social adjustment programs and medical or health-related services for blinded veterans at selected VA hospitals maintaining blind rehabilitation centers.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** To assist in the rehabilitation of blinded veterans.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any blind veteran who meets one of the following requirements for admission to a VA hospital: (1) requires treatment for a service-connected disability or disease incurred or aggravated in military service; (2) has a service-connected, compensable disability or is in receipt of retirement pay for a service-incurred disability when in need of hospital care for a non-service-connected condition; (3) has been discharged under other than dishonorable conditions: (a) from war-time service, (b) after January 31, 1955, or (c) was awarded the Medal of Honor in peacetime, and is unable to pay the cost of necessary care and so states under oath; or (4) regardless of ability to defray the expenses of hospital care, is: (a) in receipt of a VA pension or (b) 65 years of age or older and has had either war-time or peace-time active military service. Active duty personnel of the armed forces may be transferred to a center.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge papers.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application may be made through any VA hospital or outpatient clinic, by completing VA Form 10-10. Also transfer of active duty personnel of armed forces.

**Award Procedure:** VA ward physician determines, with recourse to Hospital Director.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Immediately.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Following admission, veteran is provided approximately 4 months of specialized rehabilitation in a VA blind center plus any necessary medical or health related services.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $5,156,000; FY 82 est $5,315,000; and FY 83 est $5,692,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 712 veterans and servicemen received the personal and social reorganization program at the three Blind Rehabilitation Centers.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $2.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Coordinated Services for Blinded Veterans, IB 11-59, available from Director, Blind Rehabilitation Service (124), Veterans Administration, Washington, DC 20420.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made at the nearest VA hospital or outpatient clinic listed in Appendix IV.

**Headquarters Office:** Assistant Chief Medical Director for Professional Services, (124), Veterans Administration, Washington, DC 20420. Telephone: (202) 389-3232.

**RELATED PROGRAMS:** 64.009, Veterans Hospitalization; 64.011, Veterans Outpatient Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.008 VETERANS DOMICILIARY CARE

### (VA Domiciliary Care)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 89-358 and 94-581; 38 U.S.C. 601, and 610; Executive Order 5398, July 21, 1930.

**OBJECTIVES:** To provide care on an ambulatory self-care basis for veterans disabled by age or disease who are not in need of acute hospitalization and who do not need the skilled nursing services provided in nursing homes. To motivate the veteran to return to the community in a self-sustaining and independent living situation or to assist the veteran to reach optimal level of functioning in a protective environment.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Domiciliary care provides necessary medical care and physical, social and psychological support services in a sheltered environment. It also includes a program to prepare veterans who have the potential to function more independently to return to community living.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Veterans of the various military services who were discharged for a disability or are in receipt of disability compensation and suffering from a permanent disability, have no adequate means of support, are incapacitated from earning a living and meet certain other requirements. Veterans with nonservice-connected disabilities that incapacitate them from earning a living, but which are not so severe as to require hospitalization, are also eligible if they are unable to defray the expense of domiciliary care and if they meet certain other requirements for care in a domiciliary. An income limitation criterion is applied to all applicants.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge papers.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit Application for Medical Benefits, VA Form 10-10, to nearest VA medical facility.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $85,086,000; FY 82 est $93,762,000; and FY 83 est $99,751,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 14,877 patient-members were provided care in this program with an average daily census of 7,353. In fiscal year 1982 and 1983 it is estimated that 14,700 patient-members will be provided care with an average daily census of 7,520.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Department of Medicine and Surgery Manual M-2, Part XIX "Extended Care (Domiciliary)"; VA IS-1 Fact Sheet $2.50, Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Veterans Hospital Facilities.

**Headquarters Office:** Assistant Chief Medical Director for Geriatrics and Extended Care (181), Veterans Administration, Washington, DC 20420. VA Domiciliary Care Program Coordinator, Telephone: (202) 389-3692.

**RELATED PROGRAMS:** 12.500, U.S. Soldiers' and Airmen's Home; 64.014, Veterans State Domiciliary Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.009 VETERANS HOSPITALIZATION

### (VA Hospitalization)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C., chapter 17.

**OBJECTIVES:** To provide inpatient, medical, surgical and neuropsychiatric care and related medical and dental services to veterans.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Hospital care includes (1) medical services rendered in the course of the hospitalization of any veteran; (2) Actual necessary expenses of travel of any person receiving benefits for in connection with a service-connected disability or; receiving or eligible to receive VA pension or; whose income does not exceed the maximum annual VA pension rate; (3) such mental health services, consultation, professional counseling, and training of the veteran or members of the immediate family as may be necessary or appropriate to the effective treatment and rehabilitation of the veteran; and (4) medical services rendered in the course of the hospitalization of an eligible dependent of a veteran totally and permanently disabled fron a service-connected disability or the widow, widower or child of a veteran who died as a result of a service-connected disability, or who at the time of death had a total disability permanent in nature, resulting from a service-connected disability, or who is the surviving spouse or child of a person who died while on active duty and is not eligible for CHAMPUS or medicare.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any veteran who: (1) requires treatment for a service-connected disability or disease incurred or aggravated in military service; or (2) has a service-connected, compensable disability or is in receipt of retirement pay for a service-incurred disability when in need of hospital care for a non-service-connected condition; or (3) has been discharged under other than dishonorable conditions meets minimum active duty requirements and is unable to pay the cost of necessary care; or (4) regardless of ability to defray the expenses of hospital care, is: (a) in receipt of a VA pension or (b) 65 years of age or older or (c) is a former prisoner of war or (d) is otherwise exempt by statute from certifying their inability to pay. A spouse child of a veteran who has a total disability, permanent in nature, resulting from a service-connected disability, and the widow, widower or child of a veteran who had died as a result of a service-connected disability, or at the time of death had a total disability (permanent in nature), resulting from a service-connected disability, or who is the surviving spouse or child of a person who died while on active duty and is not eligible for Medicare or CHAMPUS, may be provided hospital care through the Civilian Health and Medical Program, Veterans Administration (CHAMPVA).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Military discharge papers; (2) verification of: (a) establishment of service connected disability; (b) service during Spanish American War; (c) military retirement; (d) letter of authorization; or (e) receipt of increased pension or additional compensation or allowance based on the need for regular aid and attendance or by reason of being permanently housebound, or who but for the receipt of retired pay would be otherwise eligible.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application may be made: (1) personally at a VA Medical Center, outpatient clinic, or regional office; (2) through any veterans' service organization representative; (3) or by mailing VA Form 10-10, Application for Medical Benefits, to nearest VA health care facility.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** The same day if the applicant applies in person; generally within 7 days if by mail.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $4,023,015,000; FY 82 est $4,443,870,000; and FY 83 est $4,763,730,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** A total of 1,248,502 patients were treated in VA Medical Centers in fiscal year 1981. It is estimated that 1,248,000 patients will receive treatment in VA medical centers in fiscal year 1982, and 1,252,000 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 17.46, 17.46 (b) and 17.47; "Federal Benefits for Veterans and Dependents." VA Fact Sheet IS-1, $2.00, available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest VA health care facility, domiciliary or regional office. (See Appendix IV for the list of addresses of VA facilities.)

**Headquarters Office:** Chief Medical Director, Department of Medicine and Surgery, Veterans Administration, Washington, DC 20420. Telephone: (202) 389-2596.

**RELATED PROGRAMS:** 64.007, Blind Veterans Rehabilitation Centers; 64.008, Veterans Domiciliary Care; 64.010, Veterans Nursing Home Care; 64.011, Veterans Outpatient Care; 64.013, Veterans Prosthetic Appliances; 64.019, Veterans Rehabilitation—Alcohol and Drug Dependence; 64.022, Veterans Hospital Based Home Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.010 VETERANS NURSING HOME CARE
## (VA Nursing Home Care)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 88-450, 89-311, 89-358, 91-500, 93-82, 94-581 and 96-22; 38 U.S.C. 610 and 5010.

**OBJECTIVES:** To accommodate individuals who are not acutely ill and not in need of hospital care, but who require skilled nursing care, related medical services, supportive personal care, and individual adjustment services (including social, diversional, recreational and spiritual activities and opportunities) in a homelike atmosphere.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Veterans in need of care in a VA Nursing Home Care Unit may be admitted or transferred according to the following priorities: (1) Veterans receiving hospital or domiciliary care in VA facilities when transfer is required for service-connected or adjunct disabilities and persons being furnished care in Armed Forces hospitals who will require a protracted period of nursing home care upon release therefrom, and will become veterans on discharge from active military service. (2) Veterans not hospitalized or domiciled by VA who require nursing home care for service-connected or adjunct disabilities. (3) Veterans receiving hospital or domiciliary care in VA facilities whose transfer is required for nonservice-connected disabilities. (4) Veterans not hospitalized or domiciled by VA who require nursing home care for nonservice-connected disabilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The veteran must require skilled nursing care and the related medical services for a protracted period of time. Medical determination as to need for nursing home care will be made by a VA physician.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge papers.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit Application for Medical Benefits, VA Form 10-10, to nearest VA medical facility. A medical determination as to need for nursing home care will be made by a VA physician.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** No limit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $240,317,000; FY 82 est $272,214,000; and FY 83 est $305,742,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 13,554 patients treated in this program, with an average daily census of 8,145. In fiscal year 1982, it is estimated that 13,874 patients will be treated with an average daily census of 8,671 and in fiscal year 1983, 14,522 patients will be treated with an average daily census of 9,076.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Department of Medicine and Surgery Manual M-1, Chapter 2 "Nursing Home Care"; VA IS-1 Fact Sheet $2.50, Superintendent of Documents, U.S.Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Veterans Hospital Facilities.

**Headquarters Office:** Assistant Chief Medical Director for Geriatrics and Extended Care (181), Veterans Administration, Washington, DC 20420. VA Nursing Home Care Program Coordinator, Telephone: (202) 389-3692.

**RELATED PROGRAMS:** 64.015, Veterans State Nursing Home Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.011 VETERANS OUTPATIENT CARE

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 17; 38 U.S.C. 612.

**OBJECTIVES:** To provide medical and dental services, medicines, and medical supplies to eligible veterans on an outpatient basis.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Outpatient medical services including examination, treatment, certain home health services, podiatric, optometric, dental and surgical services are provided to eligible veterans in VA facilities or under fee basis hometown care program when properly authorized. Readjustment counseling may be provided Vietnam Era veterans in VA operated outreach centers, on contract, or in a VA facility. Drugs, medicines, prosthetic appliances, transportation, and such supplies as determined to be reasonable and necessary are also provided to eligible Veterans.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The following veterans are eligible for medical outpatient services: (1) veterans suffering from a disease or injury incurred or aggravated in service; (2) veterans suffering from a non-service-connected illness which has aggravated an existing service-connected illness; (3) veterans with established eligibility for pre- and post-hospital care; (4) Spanish-American war veterans; (5)veterans entitled to vocational rehabilitation; (6) military retirees; (7) veterans with service-connected disabilities rated at 50 percent or more; (8) veterans of World War I and the Mexican Border period and veterans in receipt of increased pension or additional compensation based on the need for regular aid and attendance by reason of being permanently housebound; (9) veterans who require outpatient treatment to obviate the need for hospitalization; (10) and the spouse or child of a veteran who has a total disability, permanent in nature, resulting from a service-connected disability and the widow, widower or child of a veteran who has died as the result of a service-connected disability or at the time of death had a total disability permanent in nature, resulting from a service-connected disability, and the surviving spouse or child of a person who died while on active duty and is not eligible for Medicare or CHAMPUS may be provided care through the Civilian Health and Medical Program, Veterans Administration (CHAMPVA). Additionally, outpatient dental care may be provided for those veterans: (1) who have a service-connected, compensable dental disability or condition; (2) who have a service-connected, non-compensable dental condition or disability and were former prisoners of war; (3) who have a service-connected, non-compensable condition or disability resulting from combat wounds or service trauma; (4) who were held as a prisoner of war for a period of not less than six months; (5) who have a service-connected disability rated as total; (6) who have been found in need of training authorized under 38 U.S.C. Chapter 31; (7) who had served in the active military or naval forces during the Spanish-American War, the Indian wars, the Philippine Insurrection, or the Boxer Rebellion; (8) who have a dental condition which is having a direct and material detrimental effect upon a service-connected condition (9) who have a service-connected, non-compensable disability and who apply for treatment of such condition within one year following discharge or release from active duty. Treatment under this latter authority is limited to a one-time correction of the service-connected teeth.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Verification of: (a) establishment of service-connected disability; (b) service during Spanish-American War, World War I or the Mexican border period; (c) military retirement; (d) letter of authorization; or (e) receipt of increased pension or additional compensation or allowance based on the need of regular aid and attendance or by reason of being permanently housebound, or who but for the receipt of retired pay would be otherwise eligible.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application may be made: (1) personally at VA medical center, outpatient clinics or regional offices; (2) through any veteran's service organization representative; (3) or by mailing VA form 10-10, Application for Medical Benefits, to the nearest VA health care facility.

**Award Procedure:** Not applicable.

**Deadlines:** (1) Dental treatment for service-connected noncompensable condition or disability shown to have been in existence at time of discharge or release from service must be made within 1 year after discharge, (2) Readjustment Counseling for Vietnam veterans must be applied for within 2 years following discharge from active military service, or a date specified in 38 U.S.C. 612A.

**Range of Approval/Disapproval Time:** The same day if applicant applies in person; generally within 7 days if applicant applies by mail.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** No limit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $1,243,974,000; FY 82 est $1,358,621,000; and FY 83 est $1,459,956,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, visits totaled 17,932,000, which included: 15,828,000 medical staff visits, 2,104,000 fee basis medical visits. In fiscal year 1982 total visits are estimated at 18,018,000 including 2,100,000 for fee base visits and in 1983 total visit are estimated at 18,110,000 including for base visits 72,100,000. The following dental cases were completed in fiscal year 1981: (1) Examinations Staff 155,453, and (2) Treatments Staff 155,205; fee basis 74,528.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 17.45a, 17.60(a) - (i), 17.60 (d) - (f) and 17.123(a) - (g). "Federal Benefits for Veterans and Dependents," VA Pamphlet IS-1, $2.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Any VA healthcare facility; see Appendix IV for listing.

**Headquarters Office:** Chief Medical Director, Department of Medicine and Surgery, Veterans Administration, Washington, DC 20420. Telephone: (202) 389-2596.

**RELATED PROGRAMS:** 64.007, Blind Veterans Rehabilitation Centers; 64.009, Veterans Hospitalization; 64.010, Veterans Nursing Home Care; 64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances; 64.019, Veterans Rehabilitation—Alcohol and Drug Dependence; 64.022, Veterans Hospital Based Home Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.012 VETERANS PRESCRIPTION SERVICE

### (Medicine For Veterans)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 612; Public Laws 91-500, 93-82, and 94-581.

**OBJECTIVES:** To provide veterans and certain dependents and survivors of veterans with prescription drugs and expendable prosthetic medical supplies from Veterans Administration pharmacies upon presentation of prescription(s) from a licensed physician.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Drugs or medicines and expendable medical supplies prescribed by a licensed physician as specific therapy in treatment of an illness or injury suffered by the veteran will be dispensed by VA pharmacists directly to veterans or dispatched to them by mail through VA pharmacies. Prescription refill service is available on physicians' authorization. In Alaska or Territories, where there are no VA pharmacies, payment for prescribed drugs is provided on a reimbursable basis. Use Restrictions: Limited to drugs prescribed by physician(s), dentists, and podiatrists. Prescriptions are not filled for alcoholic beverages or dietary supplements used for weight control. Veterans living abroad are ineligible for program benefits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** In treatment of a service connected condition or for a condition for which the veteran has been hospitalized and for which care is continued on an outpatient basis; for treatment of any condition of a veteran 50 percent or more service-connected or in receipt of aid and attendance or housebound benefits; WWI, Mexican border and former POW and for dependents or survivors of certain veterans. Veterans, whose pension payments have been discontinued because their annual income exceeds the applicable maximum limitation, continue their eligibility for drugs, medicines and expendable prosthetics medical supplies until their income exceeds the maximum limitation by more than $1,000.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Veterans eligible under Applicant Eligibility section of the program must furnish prescription(s) from a licensed physician, dentist, or podiatrist.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** VA Form 10-1151, Application to Receive Drugs, Medicines, and Expendable Prosthetic Medical Supplies is furnished to each eligible veteran dependent or survivor of eligible veteran by the Veterans Administration. Signed applications received from veterans constitute application for their benefit. These prescriptions, in most cases, should be taken to the nearest VA pharmacy.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $10,471,000; FY 82 est $11,172,000; and FY 83 est $11,340,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 17.60; "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $2.00, available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made with the nearest VA regional office or VA facility listed in Appendix IV.

**Headquarters Office:** Assistant Chief Medical Director for Professional Services, (119), Department of Medicine and Surgery, Veterans Administration, Washington, DC 20420. Telephone: (202) 389-2262.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program; 13.774, Medicare—Supplementary Medical Insurance; 64.011, Veterans Outpatient Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.013 VETERANS PROSTHETIC APPLIANCES

### (Prosthetics Services)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. Sections 362, 601, 610, 612, 613, 614, 617, 619, 623, 624, 1506, 1901, 1902, 1903, and 5023.

**OBJECTIVES:** To provide prosthetic and related appliances and services to disabled veterans so that they may live and work as productive citizens.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Appliances and services are provided only for the use and benefit of the disabled veteran to whom they are furnished. The program also includes the replacement and repair of appliances and training in the use of artificial limbs, artificial eyes, wheelchairs, aids for blind, hearing aids, braces, orthopedic shoes, eyeglasses, crutches and canes, medical equipment and medical supplies, and automotive adaptive equipment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any disabled veteran or his authorized representative in his behalf may apply for prosthetic appliances or services.

**Beneficiary Eligibility:** Disabled veterans eligible for VA outpatient treatment for service connected or Non-service connected conditions requiring prosthetic services; veterans receiving hospital care in VA facilities or at VA expense, or receiving domiciliary, or nursing home care in VA facilities; veterans in receipt of 50 percent compensation for service connected disabilities or special monthly compensation or increased pension based on being housebound or the need for regular aid and attendance; veterans of the Mexican Border Period or World War I; ineligible veterans are those not eligible for outpatient care or non-service-connected veterans residing or sojourning in foreign lands.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible veteran may request prosthetics services by reporting in person at any VA Medical Center by correspondence, telephone, or community physician prescription.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Usually immediately, although delays of 30 to 60 days have occurred in unusual cases.

**Appeals:** A veteran who is administratively refused prosthetics services by a local VA health care facility may appeal to the Administrator of Veterans Affairs. Determinations of the Department of Medicine and Surgery involving the need or nature of medical treatment as distinguished from legal or basic entitlement to or medical services, are not appealable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** For veterans eligible for outpatient medical treatment and those in receipt of special monthly compensation or increased pension based on the need for regular aid and attendance, assistance is maintained for as long as eligibility continues (usually for life). For former prisoners of war and veterans receiving hospital, domiciliary, or nursing home care, assistance is available until discharge from such care.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Value and repair of prosthetic appliances) FY 81 $75,374,000; FY 82 est $82,426,000; and FY 83 est $86,418,000.

**Range and Average of Financial Assistance:** $5 to $10,000; $65.

**PROGRAM ACCOMPLISHMENTS:** The program has provided 1,000,000 prosthetics beneficiary services in the form of prosthetic appliances, sensory aids, medical equipment, medical supplies, therapeutic devices and repair services during fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 17.115, 17.115a, 17.115b, 17.115c, 17.116, and 17.118.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Initial contact should be made with the Prosthetic Representatives in 87 VA field stations, any VA hospital or outpatient clinic, or any veterans' service organization representative. See Appendix IV for the address of the nearest facility.

**Headquarters Office:** Assistant Chief Medical Director for Professional Services (121), Veterans Administration Central Office, Washington, DC 20420. Telephone: (202) 389-3517.

**RELATED PROGRAMS:** 13.714, Medical Assistance Program; 13.774, Medicare—Supplementary Medical Insurance; 64.009, Veterans Hospitalization; 64.011, Veterans Outpatient Care; 64.100, Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces; 64.116, Vocational Rehabilitation for Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.014 VETERANS STATE DOMICILIARY CARE

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Act of August 27, 1888 as amended by Public Laws 66-126, 76-250,78-202, 80-531, 81-832, 83-613, 86-625, 88-450, 90-432, 93-82, 94-417, 94-581, and 96-151; 38 U.S.C. 641-643.

**OBJECTIVES:** To provide financial assistance to states furnishing domiciliary care to veterans in State Veterans' Homes which meet the standards prescribed by the VA Administrator.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** The assistance provided is for domiciliary care; The provision of shelter, sustenance, and incidental medical care on an ambulatory self-care basis to assist eligible veterans, disabled by age or disease to attain physical, mental, and social well-being through rehabilitative programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant is any State which operates a designated facility to furnish domiciliary care primarily for veterans.

**Beneficiary Eligibility:** A veteran eligible for care in a VA facility needing domiciliary care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; or (b) has a non-service-connected disability and states under oath his inability to defray the expenses of necessary care; or (c) was discharged or released from active military, naval and air service for a disability incurred or aggravated in line of duty; or (d) is in receipt of, or but for the receipt of, retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter of application from State addressed to Chief Medical Director (182), Veterans Administration, 810 Vermont Avenue, N.W., Washington, DC 20420.

**Award Procedure:** Recognition by Administrator of Veterans Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 641. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** As amended by P.L. 86-625, 88-450, 90-432, 91-178, 93-82, 94-417, 96-151, 38 U.S.C. 641, for each veteran provided domiciliary care, formula payments to the state are one-half the cost of care or $6.35 per diem, whichever is less.

**Length and Time Phasing of Assistance:** There is no length limitation; grant payments are made quarterly to the State.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly reports and quarterly Statements of Federal aid claimed are filed by the State with VA field station having jurisdiction over the State Home.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular. An audit, reconciliation of records, and inspection are made at least annually by VA field station having jurisdiction over the State home.

**Records:** Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Grants) FY 81 $12,153,000; FY 82 est $11,823,000; and FY 83 est $12,455,000.

**Range and Average of Financial Assistance:** $34,117 to $1,106,600; $271,900.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 9,302 patient-members were provided care in this program with an average daily census of 4,572 veterans in 41 State homes. In fiscal year 1982, it is estimated that 8,828 patient-members will be provided care with an average daily census of 4,504 and in fiscal year 1983, 9,294 patient - members will be provided care with an average daily census of 4,742.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Department of Medicine and Surgery Manual M-1, Part I, Chapter 3 "State Veterans' Homes."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Veterans Hospital Facilities.

**Headquarters Office:** Assistant Chief Medical Director for Geriatrics and Extended Care (182), Veterans Administration, Washington, DC 20420. State Home Program Coordinator, Telephone: (202) 389-3679.

**RELATED PROGRAMS:** 12.500, U.S. Soldiers' and Airmen's Home; 64.008, Veterans Domiciliary Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.015 VETERANS STATE NURSING HOME CARE

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 88-450, 93-82, 94-417, 94-432, 94-581, and 96-151; 38 U.S.C. 641-643.

**OBJECTIVES:** To provide financial assistance to states furnishing nursing home care to veterans in State Veterans' Homes which meet the standards prescribed by the VA Administrator.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** The assistance provided is for nursing home care: the accommodation of convalescents or other persons who are not acutely ill and not in need of hospital care or domiciliary care but who require skilled nursing care and related medical services. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant is any State which operates a designated facility to furnish nursing home care primarily for veterans.

**Beneficiary Eligibility:** A veteran eligible for care in a VA Facility needing nursing home care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; or (b) has a non-service-connected disability and states under oath his inability to defray the expenses of necessary nursing home care; or (c) was discharged or released from active military, naval and air services for a disability incurred or aggravated in line of duty; or (d) is in receipt of, or but for the receipt of retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter of application from State addressed to Chief Medical Director (182), Veterans Administration, 810 Vermont Avenue, N.W., Washington, DC 20420.

**Award Procedure:** Recognition by Administrator of Veteran Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 641. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** P.L. 88-450 As amended by P.L. 90-432, 93-82, 94-417, 96-151, 38 U.S.C. 641, for each veteran provided nursing home care, formula payments to the state are one-half the cost of care or $12.10 per diem whichever is less.

**Length and Time Phasing of Assistance:** There is no length limitation; grant payments are made quarterly to the State.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly reports and quarterly statements of Federal aid claims are filed by the State with VA field station having jurisdiction over the State home.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular. An audit, reconciliation of records, and inspection are made at least annually by VA field station having jurisdiction over the State home.

**Records:** Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Grants) FY 81 $27,125,000; FY 82 est $30,851,000; and FY 83 est $31,366,000.

**Range and Average of Financial Assistance:** $61,635 to $1,757,658; $515,557.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 10,085 patients treated in this program with an average daily census of 5,855 veterans in 38 State homes. In fiscal year 1982, it is estimated that 12,071 patients will be treated with an average daily census of 6,647 and in fiscal year 1983, 12,247 patients will be treated with an average daily census of 6,744.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Department of Medicine and Surgery Manual M-1, Part I, Chapter 3 "State Veterans' Homes."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Veterans Hospital Facilities.

**Headquarters Office:** Assistance Chief Medical Director Geriatrics and for Extended Care, (182), Veterans Administration, Washington, DC 20420. State Home Care Program Coordinator, Telephone: (202) 389-3679.

**RELATED PROGRAMS:** 64.010, Veterans Nursing Home Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.016 VETERANS STATE HOSPITAL CARE

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 76-250, 78-202, 80-531, 81-823, 83-613, 86-625, 88-450, 90-432, 91-178, 94-417, 94-581, and 96-151; 38 U.S.C. 641-643.

**OBJECTIVES:** To provide financial assistance to states furnishing hospital care to veterans in State Veterans' Homes which meet the standards prescribed by the VA Administrator.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** The assistance provided is for hospital care: The provision of diagnosis and treatment for in-patients with medical, surgical, or psychiatric conditions who generally require the services of a physician on a daily basis with attendant diagnostic, therapeutic, and rehabilitative services. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant is any State which operates a designated facility to furnish hospital care primarily for veterans.

**Beneficiary Eligibility:** A veteran eligible for care in a VA facility needing hospital care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; or (b) has a non-service-connected disability and states under oath his inability to defray the expenses of necessary care; or (c) was discharged or released from active military, naval and air service for a disability incurred or aggravated in line of duty; or (d) is in receipt of, or but for the receipt of retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter of application from State addressed to Chief Medical Director (182), Veterans Administration, 810 Vermont Avenue, N.W., Washington, DC 20420.

**Award Procedure:** Recognition by Administrator of Veterans Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 641. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** P.L. 76-250 as amended by P. L. 78-202, 80-531, 81-823, 83-613, 86-625, 88-450, 90-432, 91-178, 93-82, 94-417, 96-151, 38 USC 641, for each veteran provided hospital care, formula payments to the state are one-half the cost of care or $13.25 per diem, whichever is less.

**Length and Time Phasing of Assistance:** There is no length limitation; grant payments are made quarterly to the State.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly reports and quarterly statements of Federal aid claimed are filed by the State with VA field station having jurisdiction over the State home.

**Audits:** An audit, reconciliation of records and inspection are made at least annually by VA field station havin jurisdiction over the State home. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Grants) FY 81 $5,058,000; FY 82 est $3,880,000; and FY 83 est $3,926,000.

**Range and Average of Financial Assistance:** $14,272 to $1,686,096; $546,460.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 5,343 patients treated in this program with an average daily census of 881 veterans in 7 State homes. In fiscal years 1982 and 1983 it is estimated that 4,090 patients will be treated with an average daily census of 639.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Department of Medicine and Surgery Manual M-1, Part I, Chapter 3, "State Veterans' Home."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Veterans Hospital Facilities.

**Headquarters Office:** Assistant Chief Medical Director for Geriatrics and Extended Care, (182), Veterans Administration, Washington, DC 20420. State Home Program Coordinator, Telephone: (202) 389-3679.

**RELATED PROGRAMS:** 12.500, U.S. Soldiers' and Airmen's Home; 64.009, Veterans Hospitalization.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.018 SHARING SPECIALIZED MEDICAL RESOURCES

### (Sharing Contracts (Exchange of Use or Mutual Use))

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 91-496, 89-785, 93-82, and 96-151; 38 U.S.C. 5051-5053.

**OBJECTIVES:** To receive and share the most advanced medical techniques; to secure the use of specialized medical resources which otherwise might not be feasibly available by the VA and to provide services to the community through specialized medical resources which are not being utilized to their maximum effectiveness within the VA. (These medical resources are "specialized" resources or underutilized resources in the sense that they are unique in the medical community or can have maximum utilization only through mutual use.)

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** To provide for the exchange of or mutual use of specialized medical resources when such an agreement will obviate the need for a similar resource to be provided in a VA facility, or for the mutual use, or exchange of use, of specialized medical resources in a VA facility which have been justified on the basis of veterans' care, but which are not utilized to their maximum effective capacity. Such agreements must be made with hospitals, medical installations with hospital facilities, medical schools, clinics, and Blood and Organ Banks.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (For sharing of medical resources) medical schools, medical installations having hospital facilities, hospitals, clinics and Blood and Organ Banks. ("Hospitals" include any Federal, State, local, or other public or private hospital).

**Beneficiary Eligibility:** Patients of VA medical facilities or patients of medical installations having hospital facilities, hospitals, medical schools, clinics, and Blood and Organ Banks.

**Credentials/Documentation:** Written authorization from the VA (or other party to the agreement or contract, as provided) by the terms of the agreement or contract.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Negotiated between VA and the applicant.

**Application Procedure:** Negotiated agreements or contracts, except for renewals, must be approved by the Chief Medical Director, VA Central Office, Washington, DC.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Sharing contracts which are being renewed and which have no more than a 10 percent price increase should be submitted to the Medical District Director for approval.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annually as required by Title 38 U.S.C. 5057.

**Audits:** As required by contract terms.

**Records:** Maintain records in accordance with the contract or agreements which will facilitate an effective audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $13,875,000; FY 82 est $17,344,000; and FY 83 est $21,680,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 358 contracts were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Regulation 6210; VA Manual M-I, Part I, Chapter I; VA Procurement Regulation 8-169503-3,9504 VAPR 8-3.204(d)(e)(f), Program Guide G-12.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact nearest VA hospital listed in the Appendix IV.

**Headquarters Office:** Assistant Chief Medical Director for Administration (Sharing Staff 13C), Veterans Administration, Washington, DC 20420. Telephone: (202) 389-3603.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.019 VETERANS REHABILITATION—ALCOHOL AND DRUG DEPENDENCE

### (Alcohol and Drug Dependence Treatment Program, Mental Health and Behavioral Sciences Service)

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. Chapter 17.

**OBJECTIVES:** To provide medical, social, and vocational rehabilitation to alcohol and drug dependent veterans.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The Alcohol and Drug Dependence Treatment programs are located in VA medical centers and clinics, and offer various modalities of treatment, including: detoxification, methadone maintenance, drug free, individual and group and family therapy, psychotropic medications, psychiatric counseling, and vocational rehabilitative services. In the case of drug dependence treatment, the VA is bound by the regulations for minimum standards established by the Food and Drug Administration concerning the prescribing of methadone and other forms of chemo-therapy.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any veteran who requires treatment for alcohol or drug dependence is eligible if meeting the following conditions: (1) has served in the active military, naval or air service; and (2) was discharged or released under conditions other than dishonorable.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Discharge certificate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Apply personally to any VA Medical Center, outpatient clinic, or regional office; through any veterans service organization representative; or by mailing VA Form 10-10 (Application for Medical Benefits) to nearest Medical Center.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** The same day if the applicant applies in person; generally within 7 days if by mail.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Salaries and expenses) FY 81 $165,441,000; FY 82 est $170,206,000; and FY 83 est $182,124,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, there were 102 Alcohol Dependence Treatment Programs and 52 Drug Dependence Treatment Programs in operation; in fiscal year 1982, there are 102 Alcohol Dependence Treatment Programs and 52 Drug Dependence Treatment Programs in operation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Not applicable.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest VA medical center, outpatient clinic, domiciliary, or regional office. (See Appendix IV for the list of addresses of VA facilities.)

**Headquarters Office:** Assistant Chief Medical Director for Professional Services (116), Department of Medicine and Surgery, Veterans Administration, Washington, DC 20420. Telephone: (202) 389-3416.

**RELATED PROGRAMS:** 64.009, Veterans Hospitalization; 64.011, Veterans Outpatient Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.022 VETERANS HOSPITAL BASED HOME CARE

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Public Laws 93-82, 94-581, and 96-151; 38 U.S.C. 601.

**OBJECTIVES:** To provide individual medical, nursing, social and rehabilitative services to veterans in their home environment by VA hospital staff.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Veterans are admitted to hospital based home care from inpatient status in a Veterans Administration facility.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The veteran must require intermittent skilled nursing care and related medical services for a protracted period of time. Medical determination as to need for home health services will be made by a VA hospital physician.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge papers.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Medical determination as to need for home health services will be made by a VA hospital physician.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** No limit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0160-0-1-703.

**Obligations:** (Services) FY 81 $11,500,000; FY 82 est $11,922,000; and FY 83 est $12,799,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, a total of 145,000 home visits were made to VA beneficiaries. In fiscal years 1982 and 1983, 150,000 home visits are estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Department of Medicine and Surgery Manual M-1 Part 1, Chapter 17, Section VIII, "Hospital Based Home Care".

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Assistant Chief Medical Director for Geriatrics and Extended Care (181), Veterans Administration, Washington, DC 20420. Hospital Based Home Care Program Coordinator, Telephone: (202) 389-3692.

**RELATED PROGRAMS:** 64.011, Veterans Outpatient Care.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.023 HEALTH PROFESSIONAL SCHOLARSHIPS

**FEDERAL AGENCY:** DEPARTMENT OF MEDICINE AND SURGERY, VETERANS ADMINISTRATION

**AUTHORIZATION:** Veterans Administration Health-Care Amendments of 1980, Public Law 96-330, Title II-Veterans Administration Health Professional Scholarship Program, Sections 201-203, 38 U.S.C. 4141-4146.

**OBJECTIVES:** To assist in providing an adequate supply of professional nurses for the Veterans Administration and for the Nation.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Scholarships support students who are accepted for enrollment or enrolled full-time in a course of training leading to a baccalaureate or master's degree in nursing. Scholarships may not be awarded to students who are already committed for obligated service after graduation or who are not U.S. citizens. Recipients are required to perform one year of obligated service for each year of support with a minimum of two years obligated service in the VA.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants must be accepted for enrollment or enrolled full-time in an accredited institution and in a full-time course of training leading to a baccalaureate or master's degree in nursing; be eligible for appointment in the VA under 38 U.S.C.; submit an application and a signed contract to accept payment of a scholarship and to serve for the applicable period of obligated service as a full-time VA employee.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of full-time enrollment, curriculum plan, transcript, references, statement of career goals.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Students must be given a fair summary of the rights and liabilities of student applicants; sufficient time to review same before submitting application and signed contract. Applications available directly from program up to 3 weeks before deadline.

**Application Procedure:** Application and a signed contract are submitted to the administering Program Office.

**Award Procedure:** Awards will be made to 3rd and 4th year baccalaureate and 1st and 2nd year clinical master's students. In the event that there are a large number of equally qualified applicants than there are awards to be made, a random method of selection may be used.

**Deadlines:** Deadlines for receipt of applications for each new academic year are established at the time of distribution of the applicant and are usually 30 to 45 days after distribution.

**Range of Approval/Disapproval Time:** Notification to successful and rejected applicants is made 30 to 45 days after deadline for receipt of application.

**Appeals:** None.

**Renewals:** Contracts are for one year of support and year-by-year extensions may be made until graduation, as long as eligibility is maintained, subject to the availability of funds.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** No students may receive more than four years of support. Awards are made for one academic year.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Annual reports by schools indicating average student educational expenses by class year determines amount to be paid awardees each year for books, supplies, equipment, etc.

**Audits:** Audits performed by audit agencies as necessary in accordance with planned schedule.

**Records:** Unsuccessful applicants-files retained six months after application deadline. Successful applicant files retained for a period of up to 14 years.

FINANCIAL INFORMATION:

**Account Identification:** 36-0152-0-1-703.

**Obligations:** (Grants) FY 81 $0; FY 82 est $4,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Monthly stipend payment for living expenses for 1982-83 is $555 for 12 months. Payment to school of tuition and fees. Payment to student for other reasonable educational expenses based upon average for school and class year as reported by school. Average award is estimated at $13,000.

PROGRAM ACCOMPLISHMENTS: None - new program.

REGULATIONS, GUIDELINES, AND LITERATURE: 38 CFR 17.600 through 17.612. Notice of proposed rulemaking was published on December 31, 1981. Final regulations are being processed. Applicant Information Bulletin and fact sheet are available at no charge.

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Veterans Administration Health Professional Scholarship Program (14N), Veterans Administration Central Office, 810 Vermont Avenue, NW, Washington, DC 20420. Telephone: FTS 8-389-5071; Commercial 202/389-5071. Contact: Mrs. Dorothy E. Reese, Program Director.

RELATED PROGRAMS: 13.288, National Health Service Corps Scholarship Program.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 64.100 AUTOMOBILES AND ADAPTIVE EQUIPMENT FOR CERTAIN DISABLED VETERANS AND MEMBERS OF THE ARMED FORCES

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. Chapter 39.

**OBJECTIVES:** To provide financial assistance to certain disabled service members and veterans toward the purchase price of an automobile or other conveyance and an additional amount for adaptive equipment deemed necessary to insure the eligible person will be able to operate or make use of the automobile or other conveyance. To provide adaptive equipment only for certain other disabled veterans.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** This is a one-time payment only and must be used toward the purchase of an automobile or other conveyance, including special appliances thereon. Necessary adaptive equipment may be repaired, replaced, or reinstalled on the one conveyance which may be purchased with assistance or any other conveyance subsequently or previously acquired but not for more than one conveyance at one time.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Veterans with honorable service and service members on active duty having a service-connected disability due to loss or permanent loss of use of one or both feet, one or both hands, or a permanent impairment of vision of both eyes to a prescribed degree. For adaptive equipment only Ankylosis of one or both knees or one or both hips. personnel on active duty also qualify under the same criteria as veterans.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-4502) may be obtained from any VA office or regional office (see appendix) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not available.

**Appeals:** Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0137-0-1-702.

**Obligations:** (Direct payments) FY 81 $11,909,278; FY 82 est $16,831,000; and FY 83 est $15,723,000.

**Range and Average of Financial Assistance:** No statutory maximum for adaptive equipment; $4,400 maximum for automobile or other conveyance.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,086 vehicles were purchased. Estimates for fiscal years 1982 and 1983 are 700 and 650 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.808 "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.013, Veterans Prosthetic Appliances.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.101 BURIAL EXPENSES ALLOWANCE FOR VETERANS

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 901, 902, 903, 906, 907, 908.

**OBJECTIVES:** To provide a monetary allowance not to exceed $150 toward the plot or interment expense if not buried in a National Cemetery. Up to $300 as a burial allowance is payable toward the burial expense of certain veterans. If death is the result o a service-connected disability payments can be made to reimburse burial and funeral expenses not to exceed $1,100 or that amount authorized under 5 U.S.C. 8134(a) whichever is greater. In addition to the statutory burial allowance, the cost of transporting the remains from place of death to site of burial is paid by VA if death occurs in a VA facility. The cost of transporting the remains from place of death to the National Cemetery in which space is available nearest the veteran's last place of residence may also be paid if death was due to service connected disability, or at the time of death the veteran was in receipt of or entitled to receive disability compensation and, burial is in a National Cemetery and the cost of transportation is not fully reimbursable under other provisions. A headstone, marker or the cost of a non-Government headstone or marker not in excess of the average actual cost of headstones and markers furnished by the VA may be authorized. Also to provide a flag for the burial of a deceased veteran.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** No restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The person who bore the veteran's burial expense or the Funeral Director, if unpaid, is eligible for reimbursement of the burial expense. The next of kin, friend or associate of the deceased veteran is eligible for the flag.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Burial and plot allowances are payable for a veteran whose discharge was under other than dishonorable conditions. The plot allowance is payable for a deceased wartime veteran; and a peacetime veteran who was discharged or released from active duty for a disability incurred or aggravated in line of duty, or was in receipt of, or, but for military retired pay, entitled to receive compensation at time of death. The burial allowance is payable for a decreased veteran whose death is nonservice-connected if at the time of death the veteran was in receipt of compensation or pension, or was entitled to either benefit. The service-connected allowance is payable toward the burial expenses of a deceased veteran who died of a service-connected cause, as determined by the Veterans Administration. Each wartime veteran, and each peacetime veteran who served at least one enlistment or was discharged or released from active duty because of a disability incurred or aggravated in line of duty is entitled to a flag.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-530) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office for burial benefits. Headstones and markers must be applied for on VA Form 40-1330 to the Director of the Department of Memorial Affairs, Washington, DC.

The monetary allowance in lieu of a headstone or marker must be applied for on VA form 21-8834 and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office except for headstones and markers.

**Deadlines:** Application for the burial allowance must be filed within 2 years of the veteran's burial. There is no deadline on receipt of the flag.

**Range of Approval/Disapproval Time:** 78.7 percent in 30 days or less for burial allowance. Flags are issued immediately upon completion of signed application.

**Appeals:** Available, special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0155-0-1-701.

**Obligations:** (Direct payments) FY 81 $192,838,000; FY 82 est $129,144,000; and FY 83 est $133,291,000.

**Range and Average of Financial Assistance:** Up to $150 for plot or interment expenses. Up to $300 for burial allowance (plus transportation charges if death occurs while under VA care). Up to $1,100 if death is service-connected.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 371,599 burial allowances were made and 346,640 burial flags given. Fiscal year 1982 estimates are 140,475 burial allowances and 330,000 burial flags. Fiscal year 1983 estimates are 141,975 burial allowances and 340,000 burial flags.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.1600-3.1611 "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.105, Pension to Veterans Surviving Spouses, and Children; 64.200, Memorial Plots and Memorial Markers; 64.201, National Cemeteries; 64.202, Procurement of Headstones and Markers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicble.

## 64.102 COMPENSATION FOR SERVICE-CONNECTED DEATHS FOR VETERANS' DEPENDENTS

### (Death Compensation)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 321,341.

**OBJECTIVES:** To compensate surviving spouses, children and dependent parents for the death of any veteran who died before January 1, 1957 because of a service-connected disability.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** No restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An unmarried surviving spouse, child, or children and dependent parent or parents of the deceased veteran who must have died before January 1, 1957 because of a service-connected disability (compensation after January 1, 1957 is payable under Veteran Dependency and indemnity; refer to DIC for eligibilty).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Death certificate, marriage certificate, birth certificate(s), and military discharge certificate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-534 or 21-535) may be obtained from any local or regional VA office and submitted to the regional office (see Appendix IV).

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None. Benefits are payable from the date of receipt of the claim.

**Range of Approval/Disapproval Time:** 49.7 percent in 60 days or less.

**Appeals:** Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in the marital status of a surviving spouse, child, or dependent parent must be reported promptly. Any change in school attendance of children over 18 must be reported. Parents must report changes in income which would affect their dependency status and are sent income questionnaires every 3 years.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0153-0-1-701.

**Obligations:** (Direct payments) FY 81 $53,102,000; FY 82 est $50,200,000; and FY 83 est $45,500,000.

**Range and Average of Financial Assistance:** Monthly compensation ranges from $87 for a surviving spouse to $121 for a widow or widower with one child; plus $29 for each additional child. An additional allowance of $79 if widow, widower or dependent parent is in need of aid and attendance. Assistance for dependent parent(s) is $40 for one alone and $75 for two.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 65 widows, 59,320 parents, and 3 children received survivors compensation. Fiscal year 1982 estimates are 50 widows, 53,000 parents. Fiscal year 1983 estimates are 40 widows and 48,000 parents.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.4 (C) "Federal Benefits for Veterans and Dependent," VA Fact Sheet IS-1, $4.00. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.110, Veterans Dependency and Indemnity Compensation for Service-Connected Death; 64.114, Veterans Housing—Guaranteed and Insured Loans; 64.117, Dependents Educational Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.103 LIFE INSURANCE FOR VETERANS

### (GI Insurance)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** War Risk Insurance Act as amended by Public Law 65-90, October 6, 1917; World War Veterans Act, Public Law 68-242, June 7, 1924 with amendments: National Service Life Insurance Act, Public Law 76-801, October 8, 1940, with amendments; Public Law 82-23, Servicemen's Indemnity and Insurance

Acts April 25, 1951; Public Law 88-664, October 13, 1964; Public Law 92-95; August 11, 1971; 38 U.S.C. 703, 722, 723, 725, 741 and 806.

**OBJECTIVES:** To provide life insurance protection for veterans of World War I, World War II, Korean conflict and service disabled veterans separated from active duty on or after April 25, 1951, and to provide mortgage protection life insurance under a group policy for those disabled veterans who are given a VA grant to secure specially adapted housing under chapter 21, title 38, U.S.C.

**TYPES OF ASSISTANCE:** Direct Loans; Insurance.

**USES AND USE RESTRICTIONS:** Life insurance settlement upon death of insured; or the insured may personally surrender a permanent plan policy for cash; or the insured may be granted a loan up to 94 percent of the cash surrender value of a permanent plan policy. Dividends are paid on United States Government Life (WWI), National Service Life (WWII), Veterans Special Life (Korean Conflict), and Veterans Reopened Insurance. Dividends are not paid on Service-Disabled Veterans Insurance (Korean Conflict and continuing), or the Mortgage Protection Life Insurance. The face amount of the policy, less any indebtedness on the policy, is payable to the designated beneficiary upon the insured's death under a regular life policy, and only to the mortgage holder under the Mortgage Protection Life coverage.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All of the programs are closed for new issues except Service-Disabled Veterans Insurance and the Mortgage Protection Life Insurance. A veteran discharged from active military duty, on or after April 25, 1951, who has a service-connected disability for which compensation would be payable if 10 percent or more in degree, and who, if not for the disability would be otherwise insurable in accordance with the established standards of good health, applies for such coverage within one year from the date of notice of the VA service-connected rating, may be issued Service-Disabled Veterans Insurance. A veteran who has been given a VA grant for specially adapted housing will be sent notice that he/she is automatically insured for mortgage protection unless he/she elects in writing not to be so insured, or fails to respond within 60 days after a final request for information on which premium can be based is mailed to him/her.

**Beneficiary Eligibility:** The veteran may apply for either type of insurance. However, if the veteran is mentally incompetent, a legal guardian may apply on his/her behalf for Service-Disabled Veterans Insurance. This Service-Disabled Veterans Insurance may also be granted under certain conditions for mentally incompetent veterans who were otherwise eligible for such insurance, but due to their incompetency, died without filing an application.

**Credentials/Documentation:** If a veteran does not initially take the Automatic Mortgage Life Insurance, he/she may apply later but will be required to submit evidence that he/she meets established health requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Upon receipt of VA's notice of eligibility, for Service-Disabled Veterans Insurance, a veteran may apply by submitting the application on VA Form 29-4364. He/she may be guided by VA Pamphlet 29-9A in selecting the type of policy. The form and pamphlet may be obtained from the nearest VA office (listed in Appendix IV) and submitted to the appropriate Veterans Administration Regional Office and Insurance Center as specified in the regional or local office section below. A veteran eligible for the Mortgage Protection Life Insurance need only submit information and documents to the St. Paul VA Regional Office and Insurance Center shown in the regional or local office section below.

**Award Procedure:** Service Disabled Veterans Insurance is issued by the appropriate VA Regional Office and Insurance Center to any veteran meeting the requirements listed under Applicant Eligibility above. Mortgage Protection Life Insurance is automatically issued to all veterans receiving a grant for specially adapted housing.

**Deadlines:** Generally within 1 year following the date of notice of VA's service-connected rating for Service-Disabled Insurance. Check with local VA office for exceptions. For Mortgage Protection Life Insurance the veteran must respond within 60 days of a final request for information.

**Range of Approval/Disapproval Time:** From 1 to 3 months upon application for Service-Disabled Veterans Insurance after VA's notice of the service-connected rating. Mortgage Protection Life Insurance is effective immediately upon approval of a specially adapted housing grant.

**Appeals:** If the application for Service-Disabled Veterans Insurance is denied, the veteran may file an appeal with the Board of Veterans Appeals, VA Central Office, 810 Vermont Avenue, N.W., Washington, DC 20420, up to 1 year after the date of the notice of denial.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-8150-0-7-701; 36-8132-0-7-701; 36-8455-0-8-701; 36-4012-0-3-701; 36-4010-0-3-701.

**Obligations:** (Loans) FY 81 $241,651,000; FY 82 est $118,400,000; and FY 83 est $152,750,000. (Obligations) FY 81 $1,589,656,000; FY 82 est $1,541,395,000; and FY 83 est $1,631,810,000. (Death claims, disability claims, matured endowments, cash surrenders, dividends, interest paid on dividend credits and deposits, payments to GOE appropriation, policy liens established, policy loans and other expenses.)

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** A total of 4,449,684 policies were maintained for veterans as of September 30, 1981. During fiscal year 1981, benefits were paid to beneficiaries in the amount of $524.7 million, while policyholders received $918.3 million. Also during the fiscal year, 8,065 life insurance policies were issued to service-disabled veterans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR Chapter 1, Part 6, 6.2 through 6.210, Part 8, 8.0 through 8.186; "U.S. Government Life Insurance Information and Premium Rates" (K Policies), VA Pamphlet 29-1; "NSLI Information and Premium Rates" (V-H Policies), VA Pamphlet 29-3; "Service-Disabled Veterans Insurance" (RH Policies), VA Pamphlet 29-9A; "NSLI information and Premium Rates" (J and JR Policies), VA Pamphlet 29-17; "NSLI Information and Premium Rates" (RS-W Policies), 29-20; "Term Insurance," VA Pamphlet 29-76-1; "Information about Conversion and Premium Rates" (for present holders of NSLI V, RS, W, H and RH Policies), VA Pamphlet 29-73-1; "National Service Life Insurance Information about Waiver of Premium and Total Disability Income Provision", VA Pamphlet 29-14; "Dividend Options Fact Pamphlet For Government Life Insurance", VA Pamphlet 29-77-1. For Mortgage Protection Life Insurance, 38 CFR Chapter 1, Part 8a, 8a.1 - 8a.7; "Veterans Mortgage Life Insurance Information and Premium Rates" (VMLI), VA Pamphlet 29-79-2. "Facts About Beneficiary and Option Designations," VA Pamphlet 29-77-3. All necessary material and information are furnished each eligible veteran as the grant for specially adapted housing is approved.

**INFORMATION CONTACTS:**

**Regional or Local Office:** For states east of the Mississippi River, Veterans Administration Regional Office and Insurance Center, P.O. Box 8079, Philadelphia, PA 19101. For states west of the Mississippi River, Veterans Administration Regional Office and Insurance Center, Federal Building, Fort Snelling, St. Paul, MN 55111. Only the St. Paul Office should be contacted about Mortgage Protection Life Insurance.

**Headquarters Office:** Veterans Administration Regional Office and Insurance Center, P.O. Box 8079, Philadelphia, PA 19101.

**RELATED PROGRAMS:** 13.802, Social Security—Disability Insurance; 13.805, Social Security—Survivors Insurance; 64.105, Pension to Veterans Surviving Spouses, and Children; 64.106, Specially Adapted Housing for Disabled Veterans; 64.109, Veterans Compensation for Service-Connected Disability.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.104 PENSION FOR NON-SERVICE-CONNECTED DISABILITY FOR VETERANS

### (Pension)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 511, 512, 521.

**OBJECTIVES:** To assist wartime veterans in need whose non-service-connected disabilities are permanent and total and prevent them from following a substantially gainful occupation.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** No restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Those veterans who have had 90 days or more of honorable active war-time service in the Armed Forces or if less than 90 days wartime service were released or discharged from such service because of a service-connected disability, who are permanently and totally disabled for reasons not necessarily due to service, or 65 years of age or older and not employed. Income restrictions are prescribed. Pension is not payable to those whose estates are so large that it is reasonable they use the estate for maintenance.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate showing the separation from service was under other than dishonorable conditions. The veteran must have a permanent and total disability preventing a substantially gainful occupation. His or her income and assets must be limited as prescribed by statute.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-526) may be obtained from a local or regional VA Office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None. Benefits are payable from the date of receipt of the application, or the date the veteran became permanently and totally disabled, if the application is received within one year.

**Range of Approval/Disapproval Time:** 36.8 percent in 60 days or less.

**Appeals:** Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The veteran must promptly report any change in his or her income, net worth or dependency status. Additionally, annual income questionnaires are sent to the veteran unless he or she is receiving Protected Pension and is age 72 or over and has been receiving pension for 2 consecutive years. He or she still must report income changes when they occur.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0154-0-1-701.

**Obligations:** (Direct payments) FY 81 $2,402,185,000; FY 82 est $2,535,900,000; and FY 83 est $2,662,150,000.

**Range and Average of Financial Assistance:** $4,960 annual reduced by countable income for veteran alone ($7,936 if in need of aid and attendance and $6,064 if housebound) and $6,499 for a veteran with one dependent ($9,474 if in need of aid and attendance and $7,602 if housebound) plus $840 for each additional dependent. Also, an additional $1,119 if a veteran of WWI or Mexican Border Period.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 892,085 veterans received pensions. Estimates for subsequent years are fiscal year 1982, 851,000 and fiscal year 1983, 820,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.3 (C) "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.105 PENSION TO VETERANS SURVIVING SPOUSES, AND CHILDREN

### (Widows Pension)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 541, 542.

**OBJECTIVES:** To assist needy surviving spouses, and children of deceased war-time veterans whose deaths were not due to service.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** No restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Unmarried surviving spouses and children of deceased veterans who had at least 90 days of honorable active war-time service or, if less than 90 days during war-time, were discharged for a service-connected disability and who have a limited income. A child must be unmarried and 18 or under (23 if in school) or unmarried 18 or over if disabled before 18 and continues to be incapable of self-support. Pension is not payable to those whose estates are so large that it is reasonable they use the estate for maintenance.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate, marriage certificate, and birth certificate(s).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-534) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None, but benefits may be paid from the first day of the month in which the veteran died if the application is received within one year after the date of death; otherwise, benefits are payable from the date of receipt of the claim.

**Range of Approval/Disapproval Time:** 68.4 percent in 60 days or less.

**Appeals:** Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A surviving spouse, or child must promptly report a change in marital status and income. Additionally, a change in schooling for a child over 18 but under 23 must be reported. Annual income questionnaires are sent to all beneficiaries under this program except children and surviving spouses age 72 or over receiving protected pension and who have been receiving pension for 2 consecutive years. However, they must still report an income change when it occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0154-0-1-701.

**Obligations:** (Direct payments) FY 81 $1,384,138,000; FY 82 est $1,415,200,000; and FY 83 est $1,427,307,000.

**Range and Average of Financial Assistance:** $3,324 annual reduced by countable income for spouse alone ($5,318 if in need of aid and attendance and $4,064 if housebound) and $4,354 for a surviving spouse and one child ($6,347 if in need of aid an attendance and $5,092 if housebound) plus $840 for each additional child.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,060,692 survivors cases received pension. The figures for subsequent period are: fiscal year 1982 estimate 995,000 cases; and fiscal year 1983 estimate 943,000 cases.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.3 (D) "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 13.805, Social Security—Survivors Insurance; 64.101, Burial Expenses Allowance for Veterans; 64.103, Life Insurance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.106 SPECIALLY ADAPTED HOUSING FOR DISABLED VETERANS

### (Paraplegic Housing)

**FEDERAL AGENCY: DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION**

**AUTHORIZATION:** Public Laws 80-702, 92-341 and 96-385; 38 U.S.C. 801-806.

**OBJECTIVES:** To assist certain totally disabled veterans in acquiring suitable housing units, with special fixtures and facilities made necessary by the nature of the veterans' disabilities.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** a. The program provides 50 percent of the cost to the veteran of the housing unit, land, fixtures, and allowable expenses, not to exceed $32,500. The money may be used for assistance in (1) construction of a suitable home on land to be acquired by the veteran, or (2) construction of a home on suitable land owned by the veteran, or (3) remodeling an existing home if it can be suitably adapted, or (4) for application against an outstanding mortgage on a specially adapted home owned by the veteran. In computing the amount of the grant payable to a veteran, the housing unit cost may include incidental expenses such as connections or extensions to public facilities, customary attorney's, architect's, loan closing and other service fees. Restrictions on the use of a grant are that if a loan is necessary to supplement the grant, monthly payments on and the cost of maintaining the housing unit must bear a proper relation to the veteran's present and prospective income; the housing unit must be suitable for the veteran's special dwelling needs; the veteran's acquired interest in or title to the property must meet standards generally acceptable to informed real estate market participants in the locality of property. b. The program also provides for a grant for certain disabled veterans to cover the actual costs, not to exceed $5,000, of adaptations to the veteran's residence, which he or she owns, will own, or is owned by a member of the veteran's family, and is residing in and intends to continue to reside in, which are made necessary due to the veteran's disability.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For item a above, veterans with permanent, total and compensable disabilities based on service after April 20, 1898, due to (1) loss or loss of use of both lower extremities, such as to preclude locomotion without the aid of braces, canes, crutches, or a wheelchair, or (2) which includes (a) blindness in both eyes, having only light perception, plus (b) loss or loss of use of one lower extremity, or (3) loss or loss of use of one lower extremity, together with (a) residuals of organic disease or injury, or (b) the loss or loss of use of one upper extremity which so affect the functions of balance or propulsion as to preclude locomotion without the aid of braces, crutches, canes, or a wheelchair. It must be medically feasible for the veteran to reside in the proposed or existing housing unit, and in the locality. For item b above, veterans who have a permanent and total service-connected disability which (1) is due to blindness in both eyes with 5/200 visual acuity or less, or (2) includes the anatomical loss or loss of use of both hands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Initial application for determination of basic eligibility may be made on VA Form 21-4555 to the VA regional office holding the veteran's claim folder. After eligibility determination a VA employee will personally assist the veteran throughout subsequent processing, including advice on a suitable house plan and lot, adaptations, location of a qualified builder and architect, preparation of the supplemental application necessary for final grant approval.

**Award Procedure:** The VA regional office disburses the grant proceeds the veteran or for his or her account after conditions of the proposal and contract are fulfilled.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days for determination of basic eligibility and medical feasibility; 30 to 60 days after receipt of supplemental application with supporting papers.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** (a) VA provides 50 percent of the cost to the veteran of the housing unit, land, fixtures and allowable expenses, not to exceed $32,500. (b) VA provides lesser of (1) actual cost of adaptations or (2) $5,000.

**Length and Time Phasing of Assistance:** Usually if veteran already owns a suitable house, grant is disbursed in lump sum. In alteration and construction cases, grant is disbursed by specified construction completion phases approved by VA.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0137-0-1-702.

**Obligations:** (Direct payments) FY 81 $15,849,847; FY 82 est $18,275,000; and FY 83 est $17,950,000.

**Range and Average of Financial Assistance:** (a) Up to $32,500. (b) Up to $5,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 477 grants totaling $15,849,847 were made to disabled veterans. The fiscal year 1982 and 1983 outputs are expected to increase from fiscal year 1981 production to 850 and 840 grants respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.809 and 36.4400-36.4410; "Questions and Answers on Specially Adapted Housing for Veterans"; VA Pamphlet 26-69-1, no charge; "Federal Benefits for Veterans and Dependents"; VA Fact Sheet IS-1, $4.00, available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, "Handbook for Design, Specially Adapted Housing"; VA Pamphlet 26-13, no charge to eligible veterans; available for sale from Superintendent of Documents, U. S. Government Printing Office, Washington, D.C. 20402 at $4.25 per copy.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Applicants should communicate with the nearest VA regional office; case development and assistance will be accomplished by the VA Office with jurisdiction of the location of the housing unit; see Appendix IV for addresses of these offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 14.118, Mortgage Insurance—Homes for Certified Veterans; 64.103, Life Insurance for Veterans; 64.114, Veterans Housing—Guaranteed and Insured Loans; 64.118, Veterans Housing—Direct Loans for Disabled Veterans; 64.119, Veterans Housing—Mobile Home Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.109 VETERANS COMPENSATION FOR SERVICE-CONNECTED DISABILITY

### (Compensation)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 310, 331.

**OBJECTIVES:** To compensate veterans for disabilities due to military service according to the average impairment in earning capacity such disability would cause in civilian occupations.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** No restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Persons who have suffered disabilities due to service in the Armed Forces of the United States. The disability must be shown to have been incurred in or aggravated by service in the line of duty. Separation from service must have been under other than dishonorable conditions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-526) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None, but it must be filed within 1 year after separation from service in order for benefits to be paid from the day following discharge; otherwise, benefits are payable only from the date of receipt of the claim.

**Range of Approval/Disapproval Time:** 18.3 percent in 60 days or less.

**Appeals:** Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The veteran must submit to an examination at the request of the Veterans Administration when necessary to evaluate the present extent of his disabilities. Failure to appear for such examination may result in suspension of benefits.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0153-0-1-701.

**Obligations:** (Direct payments) FY 81 $6,960,137,000; FY 82 est $7,824,700,000; and FY 83 est $7,877,322,000.

**Range and Average of Financial Assistance:** Basic rates of compensation range from $58 for a 10 percent degree of disability under war-time conditions to a maximum of $3,223 a month for specified disabilities involving anatomical loss or the loss of use of arms, legs, or for blindness.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,275,730 disabled veterans received compensation. Estimates are, fiscal year 1982, 2,283,850 veterans and fiscal year 1983, 2,290,400 veterans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.4 (A) and (B); "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00, available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.103, Life Insurance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.110 VETERANS DEPENDENCY AND INDEMNITY COMPENSATION FOR SERVICE-CONNECTED DEATH

### (DIC)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 410, 413, 415.

**OBJECTIVES:** To compensate surviving spouses, children and parents for the death of any veteran who died on or after January 1, 1957 because of a service-connected disability.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** No restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An unmarried surviving spouse, a child or children, and parent or parents of the deceased veteran who died on or after January 1, 1957 because of a service-connected disability. DIC payments may be authorized for surviving spouse and children of certain veterans who were totally service-connected disabled at time of death and whose deaths were not the result of their service-connected disability. Income restrictions are applied for parents.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Death certificate, marriage certificate, birth certificate(s), and military discharge certificate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 21-534 for surviving spouses, and children; 21-535 for parents) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None, but benefits are payable from the first day of the month in which the veteran's death occurred if the claim is received within one year after the date of death; otherwise, benefits are payable from the date of receipt of the claim.

**Range of Approval/Disapproval Time:** 49.7 percent in 60 days or less.

**Appeals:** Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Any change in the marital status of a surviving spouse, child, or parent must be reported promptly. Also, a change in school attendance of children over 18 must be reported. Parents must report changes in income and every year they are sent an income questionnaire unless they are both age 72 or over and have been in receipt of DIC for 2 consecutive years. They still must report an income change when it occurs.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0153-0-1-701.

**Obligations:** (Direct payments) FY 81 $1,480,894,000; FY 82 est $1,672,500;000; and FY 83 est $1,689,600,000.

**Range and Average of Financial Assistance:** Monthly rates of DIC range from $210 for one child alone; from $415 to $1,138 for a surviving spouse whose spouse held the highest military pay grade; with $125 additional if the surviving spouse is in need of aid and attendance; or $62 if housebound. A dependent parent is entitled to $121 if in need of aid and attendance. A surviving spouse is also entitled to an additional $48 monthly for each child under age 18. Monthly rates for parents range from $5 to $230 depending upon income and whether single or married.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 301,712 cases of survivors were receiving benefits. Estimates for subsequent periods are fiscal year 1982, 304,700 and fiscal year 1983, 307,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 3.5; "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00, available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.102, Compensation for Service-Connected Deaths for Veterans' Dependents; 64.117, Dependents Educational Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.111 VETERANS EDUCATIONAL ASSISTANCE (GI Bill)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1661.

**OBJECTIVES:** To make service in the Armed Forces more attractive by extending benefits of a higher education to qualified young persons who might not otherwise be able to afford such an education; and to restore lost educational opportunities to those whose education was interrupted by active duty after January 31, 1955 and before January 1, 1977.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The veteran may select a program of education to assist him or her in attaining an educational, professional, or vocational objective at any approved educational institution he or she chooses which will accept him or her as a student or trainee. The Administrator will not approve enrollment in certain courses, basically those he finds avocational or recreational in character. A veteran who must complete high school training to qualify for higher education may elect to receive educational assistance without charge to his or her basic entitlement.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The veteran must have served honorably on active duty for more than 180 days, any part of which occurred after January 31, 1955 and before January 1, 1977. A veteran with less than 180 days' service may be eligible if he or she was released because of a service-connected disability. A service person who has served on active duty for more than 180 days any part of which was before January 1, 1977, and who continues on active duty is also eligible. Upon completion of 18 continuous months of active duty, the maximum of 45 months of educational assistance will be granted, if the veteran is released under condition that satisfy his or her active duty obligation, otherwise assistance will be provided for at the rate of 1-1/2 months for each month of service. An initial period of active duty for training under section 511(d), title 10, U.S. Code, served on or after February 1, 1955 when subsequently followed by one year of active duty, may be included in determining entitlement. Also eligible for benefits are those persons who enter into service under the Delayed Entry Program between January 1, 1977 and January 1, 1978, and who contracted for this program with the Armed Forces prior to January 1, 1977.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate, certification of enrollment by the educational institution in approved courses leading to an educational, professional or vocational objective. Advance payment of benefits payable, subject to subsequent certification of enrollment, if information sufficient to make an award is provided, and if specifically requested by the veteran.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Recently discharged veterans will receive a computer-generated VA Form 22-1990v, combined package consisting of a notice of eligibility, application and enrollment certification at their home address. An application (VA Form 22-1990 for veterans; VA Form 22-1990a for a service person) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** Generally, veterans have 10 years after release or discharge from service, but not later than December 31, 1989 to complete their education. The basic 10 year period may be extended for those veterans who were prevented from beginning or completing their chosen program of education because of a physical or mental disability not the result of their own wilful misconduct. Also, veterans who have entitlement remaining when their delimiting date is reached may use this entitlement as eligibility for an education loan providing certain conditions are met. Delimiting dates may also be extended for veterans who do not have a high school diploma, and for those who are found to be in need of vocational or job training because they are unskilled. Payment to affected veterans may be authorized for up to two years but not for training pursued after December 31, 1983. On completion of training under this program, the VA will provide the veteran with employment assistance to enable him or her to obtain appropriate employment.

**Range of Approval/Disapproval Time:** 90 percent in 60 days or less.

**Appeals:** Available through special board; 90 percent in 90 days or less (reworking time). In the event of a denial claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The educational allowance will not be paid if the veteran does not pursue his or her course in accordance with established policies and regulations of the educational institution he or she attends and in accordance with the law and Veterans Administration Regulations on satisfactory progress. Certification by the educational institution as to his or her enrollment must be made for each period for which assistance is sought. Attendance for courses not leading to a standard college degree must be certified quarterly by veteran and educational institution; for courses leading to a standard college degree school officials will make the verifications of pursuit.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0137-0-1-702; 36-4118-0-3-702.

**Obligations:** (Direct payments) FY 81 $1,983,090,154; FY 82 est $1,624,682,000; and FY 83 est $1,342,413,000.

**Range and Average of Financial Assistance:** Per month full time, institutional: no dependents, $342; one dependent, $407; two dependents, $464; each additional dependent, $29. Part time: proportionately less. Interest bearing education loan, not to exceed $2,500 in any one regular academic year, available to certain veterans; Workstudy allowances, not to exceed the higher of two hundred and fifty times the Federal minimum wage or $625 per enrollment period, whichever is higher; tutorial assistance up to a maximum of $911.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 948,526 trainees received payments. Estimates for subsequent periods are, fiscal year 1982, 842,000 trainees and fiscal year 1983, 717,600.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 21.1040-21.1045; "Federal Benefits for Veterans and Dependents," VA IS-1 Fact Sheet, $4.00, Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.038, National Defense/Direct Student Loans; 84.063, Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.114 VETERANS HOUSING—GUARANTEED AND INSURED LOANS

### (VA Home Loans)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1810.

**OBJECTIVES:** To assist veterans, certain service personnel, and certain unmarried widows or widowers of veterans, in obtaining credit for the purchase, construction or improvement of homes on more liberal terms than are generally available to non-veterans.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** VA may guarantee or insure home loans made to eligible veterans for any of the following purposes: (a) buy or build a home; (b) simultaneously purchase and improve a home; (c) repair, alter or improve a home; (d) improve a home through installation of a solar heating and/or cooling system, or other weatherization improvements; (e) buy a one-family residential unit in an approved condominium housing project; (f) refinance a mortgage or other lien on a house owned by the veteran. Restrictions are that: (a) the borrower must own and occupy, as his or her home, the housing unit securing the loan; (b) the nature and condition of the unit must be suitable for dwelling; (c) units completed less than 1 year must also meet VA minimum planning and construction requirements; (d) the loan may not exceed the reasonable value of the property.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (a) Veterans who served on active duty on or after September 16, 1940 and were discharged or released under conditions other than dishonorable. Veterans who served any time during World War II, the Korean Conflict or the Vietnam era must have served on active duty 90 days or more; veterans with peacetime service only must have served a minimum of 181 days continuous active duty, except veterans separated from enlisted service which began after September 7, 1980, or service as an officer which began after October 16, 1981, must have served at least 24 months of continuous active duty or the full period (at least 181 days) for which the person was called or ordered to active duty. Veterans of such recent service may qualify with less service time if they have a compensable service-connected disability or were discharged after at least 181 days for hardship or convenience of the Government; (b) any veteran in the above classes with less service but discharged with a service-connected disability; (c) unmarried widows and widowers of otherwise eligible veterans who died in service or whose deaths were attributable to service-connected disabilities; (d) service personnel who have served at least 181 days on continuous active duty status; (e) spouses of members of the Armed Forces serving on active duty, listed as missing in action, or as prisoners of war and who have been so listed 90 days or more. Applicant must have sufficient present and prospective income to meet loan repayment terms and have a satisfactory credit record.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of the veteran's entitlement for loan benefits and qualification for the loan purpose, documentation on the loan transaction and characteristics of the property proposed to secure the loan.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications involving new homes in project cases may be subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Eligible veterans should obtain a Certificate of Eligibility from the nearest VA Office, present it with the housing proposal to a private lender willing to make the loan. Application for guaranty or insurance is made by the lender to VA regional office having jurisdiction of the locality in which the home is located.

**Award Procedure:** The VA regional office will issue the lender evidence of guaranty or insurance after requirements are met and loan proceeds are disbursed.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 5 to 20 days after receipt of a loan application in VA.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The lender may be guaranteed against loss up to 60 percent of a loan, or a maximum of $27,500. Under the optional insurance procedure, the lender may be insured for total loss in a given case up to 15 percent of the aggregate of all VA insured loans made or purchased by the lender.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As a condition of continued guaranty or insurance coverage, the holder of the loan must notify the guaranteeing or insuring VA office of the borrower's default on installment payments or other contract terms, and of any substantive change in the terms of the contract or the security. Reporting time limitations are specified in VA regulations.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular. VA has the right to audit loan accounting records until expiration of the guaranty or insurance.

**Records:** Until VA ceases to be liable as the guarantor or insurer of a loan, the lender or loan holder must maintain adequate records on the amount and dates of payments received and disbursements made on guaranteed or insured loans.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-4025-0-3-704.

**Obligations:** (Loans guaranteed) FY 81 $9,714,025,500; FY 82 est $16,927,737,500; and FY 83 est $19,124,150,000.

**Range and Average of Financial Assistance:** $34,500 to $73,000 (60 percent of all loans), no minimum or maximum limits; $54,909: average

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, VA guaranteed $9.7 billion in loans to finance purchases of 187,628 conventionally constructed homes and condominium units. In fiscal year 1982, it is estimated that 293,375 loans totaling $16.9 billion will be guaranteed or insured. In fiscal year 1983, 316,625 loans totaling $19.1 billion are forecast to be guaranteed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 36.4300-4375 and 36.4390-36.4393; "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00, Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402; "Questions and Answers on Guaranteed

Home, and Condominium Loans for Veterans," VA Pamphlet 26-4; "Pointers For the Veteran Homeowner," VA Pamphlet 26-5; "To the Home-Buying Veteran," VA Pamphlet 26-6; "Lenders Handbook, Guaranteed and Insured Loans," VA Pamphlet 26-7 (available to lender only).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Loan applications are processed completely by VA regional offices for their respective geographic area jurisdictions. Initial contact should be made with the appropriate office listed in Appendix IV.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 14.118, Mortgage Insurance—Homes for Certified Veterans; 15.124, Indian Loans—Economic Development; 64.102, Compensation for Service-Connected Deaths for Veterans' Dependents; 64.106, Specially Adapted Housing for Disabled Veterans; 64.118, Veterans Housing—Direct Loans for Disabled Veterans; 64.119, Veterans Housing—Mobile Home Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.115 VETERANS INFORMATION AND ASSISTANCE

### (Veterans Assistance Service or Veterans Services Division)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 212, 230, 231, 240, 241, 242, 243.

**OBJECTIVES:** To provide all necessary information and assistance to potential claimants and other interested parties about veterans benefits and to provide a single point where this assistance can be obtained.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Veterans Administration (VA) Veterans Assistance Personnel provide information and assistance on all benefits legislated by the Congress for veterans of service in the Armed Forces of this country. These include compensation, pension, loan guaranty, vocational rehabilitation and education, insurance, hospitalization, domiciliary care, outpatient medical and dental treatment, automobiles and specially adapted houses for disabled veterans, and burial benefits. They help the veteran or dependent file claims, secure supporting evidence and, on request, represent the claimant to the VA adjudicative or medical authorities. Special attention and follow-up service is provided for the recently separated service disabled, and the educationally disadvantaged veterans -- those with less than a high school education. Service includes providing information and personal service on matters which affect veterans, but are under the jurisdiction of other Federal, State, county or local agencies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Generally, veterans, their dependents or beneficiaries, their representatives or other interested parties.

**Beneficiary Eligibility:** Eligibility for the benefits are controlled by specific legislation, but the Veterans Assistance service is available to all.

**Credentials/Documentation:** None for "Veterans Assistance," although various proofs are needed for the benefits.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The name and addresses of all recently discharged or separated veterans, who are educationally disadvantaged are furnished to Veterans Services Divisions.

**Application Procedure:** Phone, write or visit the nearest VA regional office, Center or VA Office listed in the address appendix.

**Award Procedure:** Veterans and dependents are provided with necessary applications for benefits and are assisted in the preparation of the applications, which are then forwarded to the appropriate units within the VA for development.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Veterans Assistance Service provides assistance with development of appeals for basic benefits.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0151-0-1-705.

**Obligations:** (Salaries and expenses) FY 81 $73,677,984; FY 82 est $71,041,000; and FY 83 $75,831,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 2,496,316 interviews and 17,801,667 telephone actions. In fiscal year 1982, 2,485,000 interviews and 17,722,000 telephone actions are expected. In fiscal year 1983, 2,450,000 interviews and 17,464,000 telephone actions are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Federal Benefits for Veterans and Dependents," VA IS-1 Fact Sheet $4.00; available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. VA Pamphlet 20-72-2 "Summary of Benefits for Veterans with Military Service Before February 1, 1955 and Their Dependents"; "Benefits for Veterans and Service Personnel with Service Since January 31, 1955 and Their Dependents" VA Pamphlet 20-67-1; "Tutorial Assistance for Veterans, Dependents and Service Personnel Under the GI Bill," VA Pamphlet 22-75-3; "Vocational Rehabilitation", VA Pamphlet 22-76-1; "Veterans Benefits - Inside...Outside", VA Pamphlet 27-79-1. "Sus Beneficios," VA Pamphlet 27-80-1S; "Veterans Benefits for Older Americans," VA Pamphlet 27-80-2; "Veteran-Student Work-Study programs," VA Pamphlet 27-80-3; "Targeted Jobs Tax Credit," VA Pamphlet 27-80-4; "The Former POW Beneits Act of 1981, "VA Pamphlet 27-82-1.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Application and contact should be made with VA regional offices, VA Centers or VA Offices as shown in Appendix IV under Veterans Administration.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 12.500, U.S. Soldiers' and Airmen's Home; 17.102, Veterans Reemployment Rights; 27.002, Federal Employment Assistance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.116 VOCATIONAL REHABILITATION FOR DISABLED VETERANS

### (Vocational Rehabilitation)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1502. Veterans' Rehabilitation and Educational Amendements of 1980, Public Law 96-466.

**OBJECTIVES:** To provide evaluation, education, training, employment-services, independent living services and all services and assistance necessary to enable service-disabled veterans to achieve maximum independence in daily living and, to the maximum extent feasible, to become employable and to obtain and maintain suitable employment.

**TYPES OF ASSISTANCE:** Direct Payments with Unrestricted Use; Direct Loans.

**USES AND USE RESTRICTIONS:** The program provides for the entire cost of tuition, books, fees, and training supplies. In addition to disability compensation, the veteran receives a subsistence allowance during training and an employment adjustment allowance for two months following completion of training. Usually the training may not exceed four years. The veteran may also receive up to 18 months or more of counseling, job placement and post-placement services, however, the veteran does not receive subsistence for this period of services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Veterans of World War II and later service with a compensable service-connected disability who are determined to be in need of vocational rehabilitation because of an employment handicap.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application (VA Form 28-1900) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** Generally, vocational rehabilitation must be accomplished within a basic 12 year period of eligibility. The 12 year period of eligibility may begin with the date of discharge, notification of establishment of service-connected disability or change in character of discharge, whichever is later. Since the normal maximum training time available is 4 years, it would be wise for a veteran to apply well in advance of the final 4 years of his or her 12 year entitlement period.

**Range of Approval/Disapproval Time:** 90 percent in 60 days or less.

**Appeals:** Available through special board; 90 percent in 90 days or less (reworking time). In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Possibility of extension beyond the basic 12 year period where a veteran is prevented from entering or completing vocational rehabilitation or needs an additional period because of a serious employment handicap.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The veteran's progress is supervised to assure that goals and objectives of the veteran's individualized written rehabilitation plan (IWRP) are carried out. The IWRP extends through both training and the securing and adjusting to employment.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0137-0-1-702; 36-4114-0-3-702.

**Obligations:** (Direct payments) FY 81 est $113,876,068; FY 82 est $116,571,000; and FY 83 est $119,736,000. (Loans) FY 81 $932,622; FY 82 est $1,525,000; and FY 83 est $1,900,000.

**Range and Average of Financial Assistance:** Full cost of tuition, books, fees, and supplies; Monthly full-time allowances range from $282 for a single veteran to $411 for a veteran with two dependents, plus $30 for each dependent in excess of two. Non-interest bearing loans of up to $564 and a work-study allowance not to exceed the higher of two hundred and fifty times the Federal minimum wage or $625 per enrollment period , whichever is higher, are available.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 29,818 trainees received payments; 5,060 of these received a loan advance. Estimates for subsequent periods are fiscal year 1982, 29,700 trainees and 6,100 loans and fiscal year 1983, 30,040 trainees and 6,330 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 21.40-21.43; "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-I, $4.00. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Central Office, Washington, DC 20420.

**RELATED PROGRAMS:** 27.002, Federal Employment Assistance for Veterans; 53.001, Handicapped Employment Promotion; 64.013, Veterans Prosthetic Appliances; 84.126, Rehabilitation Services—Basic Support.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.117 DEPENDENTS EDUCATIONAL ASSISTANCE

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1710.

**OBJECTIVES:** To provide partial support to those seeking to advance their education who are qualifying spouses, surviving spouses, or children of deceased or disabled veterans, or of service personnel who have been listed for a total of more than 90 days as missing in action, or as prisoners of war.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Assistance is in the form of monthly payments for a period up to 45 months to be used for tuition, books, subsistence, etc. In the case of a spouse or surviving spouse, education must be completed within 10 years from the date the veteran was first found to have a service-connected total disability permanent in nature, or from his or her date of death. In case of a spouse of a service person who has been listed for a total of more than 90 days as missing in action or a prisoner of war, education must be completed within 10 years from the date the service person was listed as missing in action or listed as a prisoner of war. In case of a child, eligibility generally exists between ages 18 and 26. The marriage of a child will not bar benefits but the remarriage of a surviving spouse will cause a surviving spouse's benefits to terminate. Special assistance for the educationally disadvantaged is provided without charge to entitlement for spouses and surviving spouses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Spouse, surviving spouses, and children between age 18 and 26 of veterans who died from service-connected disabilities, of living veterans whose service-connected disabilities are considered permanently and totally disabling, of those who died from any cause while such disabilities were in existence, of service persons who have been listed for a total of more than 90 days as missing in action, or of prisoners of war.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate, death certificate or official document verifying POW status or MIA status, marriage certificate, and birth certificate(s).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application form (VA Form 22-5490 for a child; VA Form 22-5490W for a spouse or surviving spouse) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards are authorized at the regional office.

**Deadlines:** None, but the period of eligibility for a spouse or surviving spouse generally extends to November 30, 1978, or for 10 years from the date the veteran was first found to have a service-connected total disablity permanent in nature or from his date of death, whichever is later, or from the date the service person was listed for a total of more than 90 days as missing in action or listed as a prisoner of war. Benefits to children terminate at age 31. The basic 10 year period may be extended for those spouses or surviving spouses who were prevented from beginning or completing their chosen program of education because of a physical or mental disability not the result of their own wilful misconduct.

**Range of Approval/Disapproval Time:** 90 percent in 60 days or less.

**Appeals:** Available through special board; 90 percent in 90 days or less (reworking time). In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:** Generally, eligibility for a child terminates at age 26. In some instances, it may be extended for 8 years, for example, in the case of service in the Armed Forces, eligibility will end 8 years after the first discharge or release from service, but in no event, beyond age 31.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly certification of attendance for courses not leading to a college degree must be executed by the beneficiary and an official of the school. For college students verification of pursuit is required near the end of the enrollment period by school officials.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0137-0-1-702.

**Obligations:** (Direct payments) FY 81 $204,779,070; FY 82 est $205,411,000; and FY 83 est $200,278,000.

**Range and Average of Financial Assistance:** Per month, institutional training: full time, $342; three-quarters time, $257; half-time, $171. Benefits may be paid up to a maximum of 45 months. Tutorial assistance up to a maximum of $911.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 94,586 participants. Estimates for subsequent periods are fiscal year 1982, 91,900 participants and fiscal year 1983, 89,500 participants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 21.3040 - 21.3046; "Federal Benefits for Veterans and Dependents," VA IS-1 Fact Sheet, $4.00, Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field offices.

**Headquarters Office:** Veterans Administration, Central Office Washington, DC 20420.

**RELATED PROGRAMS:** 27.002, Federal Employment Assistance for Veterans; 64.102, Compensation for Service-Connected Deaths for Veterans' Dependents; 64.105, Pension to Veterans Surviving Spouses, and Children; 64.110, Veterans Dependency and Indemnity Compensation for Service-Connected Death; 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.038, National Defense/Direct Student Loans; 84.063. Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.118 VETERANS HOUSING—DIRECT LOANS FOR DISABLED VETERANS

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1811.

**OBJECTIVES:** To provide certain totally disabled veterans with direct housing credit, to supplement grants authorized to assist the veterans in acquiring suitable housing units, with special features or moveable facilities made necessary by the nature of their disabilities.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** VA may make loans up to $33,000 to eligible applicants for any of the following purposes: (a) purchase or construction of a dwelling to be owned and occupied by the veteran as his or her home; (b) construction on land owned by the veteran of a farm residence to be occupied as his or her home; (c) repair, alteration or improvement of a farm residence or other dwelling owned by the veteran and occupied as his or her home. Restrictions are that: The cost and upkeep of the housing unit must bear a proper relation to the veteran's present and anticipated income and expenses. The housing unit must be suitable for the veteran's needs for dwelling purposes; the veteran's acquired interest in the property must meet standards generally acceptable to informed real estate market participants in the locality of the property.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Veterans who served on active duty on or after September 16, 1940 with permanent, total and compensable disabilities due to (1) loss or loss of use of both lower extremities, such as to preclude locomotion without the aid of braces, canes, crutches or a wheelchair, or (2) which includes (a) blindness in both eyes, having only light perception, plus (b) loss or loss of use of one lower extremity, or (3) loss or loss of use of one lower extremity, together with (a) residuals of organic disease or injury, or (b) the loss or loss of use of one upper extremity which so affect the functions of balance or propulsion as to preclude locomotion without the aid of braces, crutches, canes or a wheelchair; or (c) blindness in both eyes with 5/200 visual acuity or less, or the anatomical loss or loss of use of both hands. It must be medically feasible for the veteran to reside in the proposed or existing housing unit, and in the locality; the housing unit must be so adapted as to be suitable to the veteran's needs for dwelling purposes; it must also be financially feasible for the veteran to acquire it with the assistance provided by the grant.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The veteran should apply to the VA regional office having jurisdiction over the property location. No specific initial application form is prescribed. The VA office will respond with appropriate formal application blanks with instructions for further processing.

**Award Procedure:** The VA regional office coordinates loan disbursement with payout of the related specially adapted housing grant. Loan closing is conducted through a loan closing agent assigned by the VA office.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 20 to 60 days for disposition of initial formal application.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Loan proceeds may be disbursed in one lump sum where an existing suitable housing unit is involved or in phases in construction cases.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-4024-0-3-704.

**Obligations:** (Loans) FY 81 $533,000; FY 82 est $795,000; and FY 83 est $802,000.

**Range and Average of Financial Assistance:** Up to $33,000; $32,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, $533,000 in direct loans were made to disabled veterans for purchase or construction of specially adapted housing. Fiscal year 1982 and 1983 volumes are projected at a higher level than fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Questions and Answers on Specially Adapted Housing for Veterans," VA Pamphlet 26-69-1, no charge; "Federal Benefits for Veterans and Dependents," VA Fact Sheet IS-1, $4.00, available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402; "Handbook For Design, Specially Adapted Housing"; VA Pamphlet 26-13, no charge to eligible veterans. Available for sale from Superintendent of Documents, U. S. Government Printing Office, Washington, DC 20402 at $4.25 per copy.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See regional offices listed in the Appendix IV.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 14.118, Mortgage Insurance—Homes for Certified Veterans; 64.106, Specially Adapted Housing for Disabled Veterans; 64.114, Veterans Housing—Guaranteed and Insured Loans; 64.119, Veterans Housing—Mobile Home Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.119 VETERANS HOUSING—MOBILE HOME LOANS

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1819.

**OBJECTIVES:** To assist veterans, service persons, and certain unmarried widows or widowers of veterans in obtaining credit for the purchase of a mobile home on more liberal terms than are available to non-veterans.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** VA may guarantee a lender against loss on a loan made to an eligible veteran to buy a new or used mobile home and to buy or improve a lot for placement of the mobile home, or to refinance an existing VA guaranteed or insured loan previously obtained on the same mobile home and/or lot which the veteran or the veteran's surviving spouse, (if such surviving spouse was an obligor under such existing loan), owns and occupies, to obtain a lower rate of interest. The mobile home lot loan may augment or be separate from the mobile home loan and may include an appropriate amount for necessary site preparation. Restrictions on guaranteed VA mobile home loans are: (a) the terms of repayment must bear a proper relationship to veteran's present and anticipated income and expenses; (b) the veteran must certify that he or she intends to occupy the property as his or her home; (c) the mobile home must contain living facilities for year round occupancy; (d) used mobile homes must meet construction and acceptability standards. There are limitations on the term of a loan, depending on the purpose. The maximum term is 20 years and 32 days for a single-wide mobile home or a combination single-wide mobile home and lot, 23 years and 32 days for a double-wide mobile home, 25 years and 32 days for a double-wide unit and lot, and 15 years and 32 days for a lot only on which a mobile home already owned by the veteran will be placed. The loan amount may not exceed appropriate cost factors for new units, or the appraised value of used units or lots.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (a) Veterans who served on active duty on or after September 16, 1940 and were discharged or released under conditions other than dishonorable. Veterans who served any time during World War II, the Korean Conflict or the Vietnam era must have served on active duty 90 days or more; veterans with peacetime service only must have served a a minimum of 181 days continuous active duty, except veterans separated from enlisted service which began after September 7, 1980, or service as an officer which began after October 16, 1981, must have served at least 24 months of continuous active duty or the full period (at least 181 days) for which the person was called or ordered to active duty. Veterans of such recent service may qualify with less service time if they have a compensable service-connected disability or were discharged after at least 181 days for hardship or convenience of the Government; (b) any veteran in the above classes with less service but discharged with a service-connected disability; (c) unmarried widows and widowers of otherwise eligible veterans who died in service or whose deaths were attributable to service-connected disabilities; (d) service personnel who have served at least 181 days on continuous active duty status; (e) the spouse of any member of the Armed Forces serving on active duty who is listed as missing in action, or as a prisoner of war, and has been so listed for a total of more than 90 days. Applicants must have sufficient present and prospective income to meet loan repayment terms and have a satisfactory credit record.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Evidence of the veteran's service or certificate of eligibility for loan benefits issued by the Veterans Administration. Loan applications submitted by lenders must be accompanied by verification of income of the applicant and a credit report.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible veterans should: (a) obtain a Certificate of Eligibility from the nearest VA regional office, (b) present it with the housing proposal to a private lender willing to make the loan. Application for guaranty is made by the lender to VA regional office having jurisdiction of the locality in which the mobile home is to be placed.

**Award Procedure:** The processing VA office will issue the lender evidence of its guaranty after requirements are met and proceeds are disbursed.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** One to five days after receipt of loan application in VA.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The guaranty shall not exceed 50 percent of the loan amount, or $20,000 whichever is less.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As a condition of continued guaranty coverage, the holder of the loan must notify the guaranteeing VA office of the borrower's default on installment payments or other contract terms, and of any substantive changes in the terms of the contract or the guaranty. Reporting time limitations are specified in VA regulations.

**Audits:** VA has the right to audit loan accounting records until expiration of the guaranty. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, under attachment P of that Circular.

**Records:** Until VA ceases to be liable as the guarantor of a loan, the lender or loan holder must maintain adequate records on the amount and dates of payments received and disbursements made on guaranteed loans.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-4025-0-3-704.

**Obligations:** (Guaranteed loans) FY 81 $199,966,000; FY 82 est $201,240,000; and FY 83 est $203,998,850.

**Range and Average of Financial Assistance:** $15,420 to $24.737 (60 percent of all loans), no minimum or maximum limits; $20,077-average.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, mobile home loans totaling $200 million were guaranteed. In fiscal year 1982, the volume is expected to approach $201 million. Fiscal year 1983 volume is projected at $204 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 36.4200; VA Pamphlet 26-71-1, "Questions and Answers on Mobile Home Loans to Veterans."

**INFORMATION CONTACTS:**

**Regional or Local Office:** See regional offices listed in Appendix IV.

**Headquarters Office:** Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 14.110, Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers; 14.118, Mortgage Insurance—Homes for Certified Veterans; 14.127, Mortgage Insurance—Manufactured (Mobile) Home Parks; 64.106, Specially Adapted Housing for Disabled Veterans; 64.114, Veterans Housing—Guaranteed and Insured Loans; 64.118, Veterans Housing—Direct Loans for Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.120 POST-VIETNAM ERA VETERANS' EDUCATIONAL ASSISTANCE

### (Voluntary-Contributory Matching Program)

**FEDERAL AGENCY:** DEPARTMENT OF VETERANS BENEFITS, VETERANS ADMINISTRATION

**AUTHORIZATION:** 38 U.S.C. 1621.

**OBJECTIVES:** To provide educational assistance to persons entering the Armed Forces after December 31, 1976, to assist young persons in obtaining an education they might otherwise not be able to afford, to promote and assist the all volunteer military program of the United States by attracting qualified persons to serve in the Armed Forces.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Participants may select a program of education to assist them in attaining an education, professional or vocational objective at any approved educational institution they choose which will accept them as students or trainees. Enrollments in certain courses, basically those which are avocational or recreational in nature, may not be approved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The participant must have served honorably on active duty for more than 180 days beginning on or after January 1, 1977, or have been discharged after such date because of a service connected disability. Also eligible are participants who serve for more than 180 days and who continue on active duty and have completed their first period of obligated service (or six years of active duty, whichever comes first). Participants must also have satisfactorily contributed to the program. (Satisfactory contribution consists of monthly deduction of $25 to $100 from military pay, up to a maximum of $2,700, for deposit in a special training fund.) Participants may make lump-sum contributions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Military discharge certificate, certification of enrollment by educational institution in approved courses leading to an educational, professional or vocational objective and such other certifications as may be developed by the VA and the Department of Defense.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application form (VA Form 22-8821) may be obtained from any VA office or regional office (see Appendix IV) and submitted to the regional office.

**Award Procedure:** Awards will be authorized at the regional offices.

**Deadlines:** Generally, eligibility ceases at the end of 10 years from the date of the participant's last discharge or release from qualifying active duty after January 1, 1977. Participants may use their entitlement at any time during this 10-year period and are not required to use it in consecutive months.

**Range of Approval/Disapproval Time:** 90 percent in 60 days or less.

**Appeals:** No data available yet on which to make a determination.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Contributions to the program will be accumulated from servicepersons electing to participate in the program; the DOD (Department of Defense) matching the service person's contributions at a rate of $2 for each $1 contributed by the participant. In some cases, additional contributions may be made by DOD.

**Length and Time Phasing of Assistance:** Available within 10 years of first date of discharge or release from service or until the amount of money in the special fund, converted to months of entitlement (to a maximum of 36) is exhausted. Assistance checks generally to be released on a monthly basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The educational allowance will not be paid if the participant does not pursue his or her course in accordance with established policies and regulations of the educational institution he or she attends, and is not making satisfactory progress as required by law and VA Regulations. Certification by the educational institution as to the participant's enrollment must be made for each period for which assistance is sought. Certifications of Attendance for courses not leading to a standard college degree must be made quarterly by the participant and the educational institution; for courses leading to a standard college degree, the school official will verify the participant's pursuit of a course.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-8133-0-7-702.

**Obligations:** (Direct payments) FY 81 $6,896,028; FY 82 est $14,100,000; and FY 83 est $18,750,000.

**Range and Average of Financial Assistance:** Up to a maximum of $8,100.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981, 8,324 trainees; estimates for fiscal years 1982 and 1983 are 10,500 and 13,900 trainees respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 38 CFR 21.5001 - 21.5500 "Federal Benefits For Veterans and Dependents," VA IS-1, $4.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for Department of Veterans Benefits field Offices.

**Headquarters Office:** Veterans Administration, Central Office, Washington, DC 20420.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.038, National Defense/Direct Student Loans; 84.063, Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.200 MEMORIAL PLOTS AND MEMORIAL MARKERS

**FEDERAL AGENCY:** DEPARTMENT OF MEMORIAL AFFAIRS, VETERANS ADMINISTRATION

**AUTHORIZATION:** National Cemeteries Act of 1973, 38 U.S.C. Sections 906(b) and 1003, Public Law 93-43. Veterans' Disability Compensation and Survivors' Benefit Act of 1978, Section 303(b), Public Law 95-479.

**OBJECTIVES:** To provide a plot in a national cemetery and a memorial headstone or marker to commemorate any veteran whose remains have not been recovered or identified or were buried at sea for placement in a national cemetery, or in any private or local cemetery.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Sections are set aside in national cemeteries for the placing of memorial markers. Arrangements for memorial headstones or markers intended for placement in a private (i.e. any non-Federal) cemetery must be made by the next-of-kin who also must pay the cost of the plot and for setting the marker. Memorial markers may be placed in a National Cemetery for eligible veterans if their remains have been donated to science, cremated and (ashes) scattered, or buried at sea.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Must be close relative of the deceased (spouse, child, parent, brother, sister). Uncles or aunts, nephews or nieces, cousins, grandparents (but not in-laws).

**Beneficiary Eligibility:** Members of the Armed Forces who die while on active duty or veterans having an other than dishonorable discharge for a period of active military service.

**Credentials/Documentation:** Application for headstone or marker (VA Form 40-1330) and an affidavit attesting to the disposition of the remains.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Private cemetery authorities must verify on VA Form 40-1330 that the type of marker requested is acceptable.

**Application Procedure:** Application for a memorial headstone or marker must be submitted on VA Form 40-1330. When completing the form, the box pertaining to nonrecoverable remains must be checked. Submit completed form to Monument Service (42), Veterans Administration, 810 Vermont Avenue, N.W. Washington, D.C. 20420.

**Award Procedure:** Upon determination of eligibility for memorial marker, a plot in the national cemetery selected will be assigned by the Veterans Administration providing space is available. After erection of the marker in a national cemetery the applicant is advised and informed of the location of the plot assigned. Arrangement for placement in a private cemetery must be made by the applicant with the cemetery operator.

**Deadlines:** Lifetime of close relatives.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0155-0-1-701.

**Obligations:** (Benefits) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 468 memorial headstones or markers were furnished. It is estimated that approximately 650 memorial headstones or markers will be ordered in fiscal year 1982, and 800 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Form 40-1330 "Application for Headstone or Marker" contains general information on the program, instructions for completing the form, and illustrations of the types of headstones and markers furnished. Available at Veterans Administration Regional offices at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** (All national cemeteries where a director is assigned). National Cemetery Area Offices are located at: Room 1040 - Independence Bldg. South, 434 Walnut Street, Philadelphia, Pa 19106 730 Peachtree St., N.E., Atlanta, GA 30308; 211 Main St., Room 1704 San Francisco, CA 94105. See Appendix IV for Contacts and Telephone Numbers.

**Headquarters Office:** Director, Monument Service (42), Department of Memorial Affairs, Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.101, Burial Expenses Allowance for Veterans; 64.201, National Cemeteries; 64.202, Procurement of Headstones and Markers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.201 NATIONAL CEMETERIES

**FEDERAL AGENCY:** DEPARTMENT OF MEMORIAL AFFAIRS, VETERANS ADMINISTRATION

**AUTHORIZATION:** National Cemeteries Act of 1973 38 U.S.C. Section 1002, Public Law 93-43.

**OBJECTIVES:** To provide for interment in national cemeteries of veterans and members of the Armed Forces of the United States whose service terminated other than dishonorably, and certain classes of eligible dependents.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** For interment in a national cemetery of veterans and members of the Armed Forces of the United States and certain classes of eligible dependents meeting eligibility requirements below.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicant may be the next of kin or, in case there is no living kin, a friend of the decedent.

**Beneficiary Eligibility:** Veterans and members of the Armed Forces of the United States (Army, Navy, Air Force, Marine Corps, and Coast Guard) dying while on active duty; members of the Reserve and the Army and Air National Guard who die while performing active duty for training; the spouse, widow, or widower of an eligible veteran who is buried in a national cemetery or agrees to burial in a national cemetery at time of death; widows or widowers of members of the Armed Forces of the United States lost or buried at sea or officially determined to be permanently absent in a status of missing or missing in action; minor children and certain unmarried adult children of an eligible veteran. Citizens of the United States who served in the Armed Forces of any government allied with the United States during any war; Commissioned Officers of the Public Health Service and the National Oceanic and Atmospheric Administration may also be eligible.

**Credentials/Documentation:** None. A copy of the discharge is an aid to authorizing the burial.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The person responsible for funeral arrangements (next of kin or funeral director) should communicate as soon as possible with the Director of the national cemetery in which interment is desired, and furnish an official discharge document (other than dishonorable) or the name of the person whose military service request for burial is predicated, together with rank, serial number or VA Claim number, date and place of entry into and separation from last period of active service, date and place of birth and date of death.

**Award Procedure:** After eligibility for interment in a national cemetery has been established, the next of kin and/or funeral director acting with the national cemetery Director will make arrangements as to time and date of interment of deceased in the cemetery.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0151-0-1-705.

**Obligations:** (Salaries and expenses) FY 81 $32,300,840; FY 82 est $33,087,000; and FY 83 est $37,878,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Interments in fiscal year 1981 totaled 41,811 and are estimated at 43,000 for fiscal year 1982 and 45,000 for fiscal year 1983. There are 108 national cemeteries under the jurisdiction of the Veterans Administration. Of this number, 57 have available grave space other than previously reserved gravesites and space for second interments in existing graves under the single gravesite (per family unit) policy at all Veterans Administration national cemeteries. Three newly established cemeteries are not yet opened and two are in the planning stages.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following brochures are available at the Washington Office and other VA offices at no charge: "Interments in National Cemeteries", VA-DMA IS-1. Gravesite locator maps, historical and informational leaflets are available or being prepared for many of the national cemeteries.

**INFORMATION CONTACTS:**

**Regional or Local Office:** (All national cemeteries which have a director assigned.) National Cemetery Area-Offices are located at: Room 1040 - Independence Bldg., South, 434 Walnut Street, Philadelphia, PA 19106: 730 Peachtree St. N.E., Atlanta, GA 30308; 211 Main St. Room 1704, San Francisco, CA 94105. See Appendix IV for contacts and telephone numbers.

**Headquarters Office:** Director, Cemetery Service (41) Department of Memorial Affairs, Veterans Administration, Washington, DC 20420.

**RELATED PROGRAMS:** 64.101, Burial Expenses Allowance for Veterans; 64.200, Memorial Plots and Memorial Markers; 64.202, Procurement of Headstones and Markers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.202 PROCUREMENT OF HEADSTONES AND MARKERS

**FEDERAL AGENCY:** DEPARTMENT OF MEMORIAL AFFAIRS, VETERANS ADMINISTRATION

**AUTHORIZATION:**National Cemeteries Act of 1973, 38 U.S.C. Sections 906 and 1004(c) Public Law 93-43. Veteran's Disability Compensation and Survivors' Benefits Act of 1978, 38 U.S.C. Section 203(a) Public Law 95-476.

**OBJECTIVES:** To provide headstones markers for all unmarked graves in national, post and State Veterans cemeteries and, upon receipt of application, for the unmarked graves of eligible veterans interred in private cemeteries.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Government furnished headstones and markers may be furnished only for the unmarked graves of eligible decedents. Includes procurement of government-type headstones and markers, authorized inscription, and costs of shipment to destination. Also, erection and maintenance costs in national and post cemeteries, and replacements when stones and markers are no longer serviceable, when they constitute a hazard, or when inscriptions have become illegible.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** When burial is in a private cemetery, an applicant need not be a member of the deceased's family but he/she should be assured that the grave is unmarked and that a Government monument is preferred in lieu of a privately purchased one. The monument must also be of the type which will be permitted on the grave of the deceased. Approval of the application is subject to determination that such headstone or marker is to be placed at the unmarked grave of a veteran or member of the Armed Forces of the United States who died in service or whose service terminated other than dishonorable. If burial is in a national cemetery or State veterans cemetery the director of the cemetery takes action toward obtaining the headstone or marker, upon completion of the interment in the cemetery, or upon need for replacement.

**Beneficiary Eligibility:** Any deceased veteran of wartime or peacetime service (other than for training) who was discharged under conditions other than dishonorable. Members of the Reserve and the Army and Air National Guard who die while performing or as a result of performing active duty for training, commissioned officers of the Public Health Service and the National Oceanic and Atmospheric Administration and certain other catagories of individuals who participated in wartime activities may also be eligible.

**Credentials/Documentation:** "Record of Interment" (VA Form 40-4956); and "Application for Headstone or Marker" (VA Form 40-1330).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** If headstone or marker is to be placed in a non-federal cemetery, the approval of the cemetery operator must be secured.

**Application Procedure:** Applicant completes the VA Form 40-1330, "Application for Headstone or Marker," in accordance with instructions provided and mails it to the Director, Monument Service (42), Veterans Administration, 810 Vermont Ave. N.W., Washington, DC 20420. Application forms are available at all Veterans Administration Regional Offices, State and County Veterans Service Offices.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0102-01-701.

**Obligations:** (Salaries and expenses) FY 81 $12,412,000; FY 82 est $14,000,000; and FY 83 est $15,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 289,960 applications. It is estimated that total applications will be 290,000 in 1982 and 290,000 in 1983. Procurement for 1981 was 236,733 and estimates are 250,000 in 1982 and 255,000 in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Form 40-1330, Application for Headstone or Marker, contains general information on the program, instructions for completing the form, and illustrations of the types of headstones and markers furnished. Available at Veterans Administration Regional offices at no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, Monument Service (42), Veterans Administration, Washington, DC 20420. Application tracer information (202) 275-1495; Shipment tracer information (202) 275-1453; Problems with shipments arriving C.O.D. (202) 275-1453; Eligibility matters (202) 275-1476; Inscription matters (202) 275-1476; Problems relating to quality of headstones and markers (202) 275-1481.

**RELATED PROGRAMS:** 64.101, Burial Expenses Allowance for Veterans; 64.200, Memorial Plots and Memorial Markers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 64.203 STATE CEMETERY GRANTS

**FEDERAL AGENCY: DEPARTMENT OF MEMORIAL AFFAIRS, VETERANS ADMINISTRATION**

**AUTHORIZATION:** Veterans Housing Benefits Act of 1978, Section 202, Public Law 95-476, 38 U.S.C. 1008.

**OBJECTIVES:** To assist States in the establishment, expansion, and improvement of veterans' cemeteries.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Monetary assistance is provided under this program to construct, expand, and improve State veterans' cemeteries. Cemeteries must be State-owned and operated solely for the interment of eligible veterans and their dependents. Construction cost means the amount found by the Administrator to be necessary for the project.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State may apply.

**Beneficiary Eligibility:** Members of the Armed Forces who die while on active duty or veterans having an other than dishonorable discharge and certain of their dependents.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State governments. Governors (or their designated plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation or assistance is available from VA Central Office personnel to aid in the preparation of a preapplication. The standard application forms as furnished by the VA and required by OMB Circular No. A-102 must be used for this program (Standard Form 424, Preapplication for Federal Assistance, with attachments). Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact assessment is required for this program.

**Application Procedure:** Submit Standard Form 424, Application for Federal Assistance for Construction Programs, with attachments to the Veterans Administration, Department of Memorial Affairs (40G), Washington, DC 20420.

**Award Procedure:** Formal approval of the award of the assistance grant to the State is made by the Chief Memorial Affairs Director. Notification of awards, or changes to awards, are made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 30 to 60 days.

**Appeals:** No application shall be disapproved until the applicant has been afforded an opportunity for a hearing.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grants are made on the basis of 50 percent of the project cost in Federal funds and 50 percent provided by the state. The State may use the appraised value of the land for the cemetery site as up to 50 percent of its share of the project cost. No State may receive in any fiscal year more than 20 percent of the total program appropriation for that year.

**Length and Time Phasing of Assistance:** Funds are provided through letter of credit or reimbursement by Treasury check and must be used within three years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Federal Cash Transaction Report (quarterly). Outlay Report and Request for Reimbursement for Construction Programs (quarterly). Performance Report (at least every 6 months).

**Audits:** Periodic audits should be made as part of the recipients systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records and all other records pertinent to a grant shall be retained for a period of 3 years. If any claim or audit is started before the expiration of the 3 year period, the records shall be retained until all litigation, claims or audit findings involving the records have bee resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 36-0183-0-1-705.

**Obligations:** (Grants) FY 81 $1,308,000; FY 82 est $3,600,000; and FY 83 est $5,000,000.

**Range and Average of Financial Assistance:** $60,000 to $1,600,000; $500,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, three applications were received; two grant awards and, one conditional approval were made; no applications were disapproved and eight applications were pending approval at the end of the year. In the first five months of FY 1982, three applications were received. Approximately 11 applications are expected in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VA Regulations 18001-18008, State Cemetery Grants, are in the process of being published as final regulations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Director, State Cemetery Grants, (40G), Department of Memorial Affairs, Veterans Administration, 810 Vermont Avenue, N.W., Washington, DC 20420. Contact: Mr. H. F. Graber. Telephone: (202) 389-2313.

**RELATED PROGRAMS:** 64.101, Burial Expenses Allowance for Veterans; 64.200, Memorial Plots and Memorial Markers; 64.201, National Cemeteries; 64.202, Procurement of Headstones and Markers.

**EXAMPLES OF FUNDED PROJECTS:** 1) Construct chapel and repair storm drainage system. 2) Construct chapel, administration/maintenance building and repair storm drainage system.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are reviewed and awarded in the order received. The availability of funds for grant aid will be the first consideration. Acceptance of a proposed cemetery site will be contingent upon the location or proposed location of a national cemetery and the area of the veteran population density of the State.

# WATER RESOURCES COUNCIL

## 65.001 WATER RESOURCES PLANNING

## (Title III-State Water Management Planning Program)

**FEDERAL AGENCY:** WATER RESOURCES COUNCIL

**AUTHORIZATION:** Water Resources Planning Act; Public Law 89-80; 42 U.S.C. 1962c, as amended by Public Law 94-112, 49 U.S.C. 1962c, Public Law 94-285, 42 U.S.C. C-5; and Public Law 95-404, 42 U.S.C. C-5.

**OBJECTIVES:** To provide grants for increased participation by the states in water and related land resources planning.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Federal and non-Federal matching share must be for expenses which are reasonable and clearly allowable to the State comprehensive water and related land resources planning effort, including, but not limited to personal services, training of personnel, fringe benefits, consultant fees, equipment, supplies, and materials, travel of employees engaged in the program; contributed personal services, and payment for information services. Consultant services are eligible only to the extent that the development of trained State personnel for comprehensive water and related land resources planning is not impaired. Federal or non-Federal matching share cannot be used for expenses for (a) preparing plans and specifications for construction or for the actual construction of specific projects; (b) meeting a State's share of a cost of Title II (Public Law 89-80) river basin commissions; (c) matching Federal funds under any other federally aided program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, and the Northern Mariana Islands. Applicant must be a State agency designated by law or the Governor to administer the State's water and related land resources planning.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None. However, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised).

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Original and two copies of application required.

**Award Procedure:** The Director of the Council makes final decision as to approval of application and provides notification of the award to the designated State agencies. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications are due within 90 days after Council publication (usually February) of tentative allotments to States.

**Range of Approval/Disapproval Time:** 30 to 90 days after receipt of application.

**Appeals:** No formal appeal procedures.

**Renewals:** During any multiyear period for which a program has been approved, each State shall submit by the 90-day deadline each year any substantive amendments to the approved program that are proposed and a budget for the coming year. When a detailed program covering more than one year has been approved by the Council, the State shall submit a new application for any additional period.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation are: (1) State population, 1978 and the source is the "Current Population Reports", Series P-25; (2) State land area including inland water and the source is the "Geological Survey, Boundaries of the United States"; (3) annual per capita personal income for State (reciprocal) and the source is publication No. 80-86, Bureau of Economic Analysis; and (4) subjective rating of need for water and land resources, planning and management and the source is administrative records supplied by States. Statistical factors used for eligibility do not apply to this program. Formula: (1) an equal share, not to exceed $100,000, the total of which shares shall not exceed 10 percent of the funds available; (2) one-third of the remaining balance of funds on the basis of ratio of population of State to population of all States; (3) one-third of the remaining balance of funds after accounting for (1) and (2) above of the State land area to all States; (4) one-third of the remaining balance of funds after accounting for (1), (2), and (3) above on the ratio of the reciprocal of its per capita income to the sum of the reciprocals of all the other States. Up to 50 percent of the cost of carrying out an approved State program may be provided by the Council.

**Length and Time Phasing of Assistance:** Grants are awarded annually and are for use during the grant period. Federal funds must be obligated by the close of the grant year unless approval to carry over funds is granted by WRC 30 days prior to the end of the grant period. Upon receipt of requests submitted quarterly, payments are made if the program is in conformance with authorizing legislation and governing administrative requirements.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual performance reports and financial status reports are due ninety days after the grant period ends.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by OMB Circular No. A-102, Attachment P.

**Records:** Records relating to each allotment and each grant will be retained until the expiration of three years after the State agency's last disbursement of such funds, except as qualified by 2a.b.c., Attachment C, OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 85-0100-0-1-301.

**Obligations:** (Grants) FY 81 $6,748,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $63,700 to $267,200; $122,691.

**PROGRAM ACCOMPLISHMENTS:** A total of 50 States, the District of Columbia and four U.S. possessions received assistance in fiscal year 1981. Grant funds are used in support of participants' efforts in carrying out comprehensive water and related land resources planning activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 18 CFR 703; Water Resources Council, Organization and Planning Grants to States (Rules and Regulations Title 18 U.S.C., Chapter VI, Sections 701 and 703).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Denzel L. Fisher, State Programs Division, Water Resources Council, 2120 L Street, N. W., Suite 800, Washington, DC 20037. Telephone: (202) 254-6446 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.062, Water Bank Program; 12.110, Planning Assistance to States; 15.804, Water Resources Investigations; 15.950, National Water Research and Development Program; 15.951, Water Resources Research and Technology—Assistance to State Institutes; 15.952, Water Research and Technology—Matching Funds to State Institutes; 15.953, Water Resources Scientific Information Center.

**EXAMPLES OF FUNDED PROJECTS:** The Council provides funding to the States for the conduct of comprehensive water and related land resources planning. The major components of the planning process are general studies, specialized studies, and plan formulation. Most of the States have developed or are developing State water plans; examples of component activities funded through this program are: 1. development of criteria and procedures to guide land and water use decisions impacting surface water; 2. development of program to promote irrigation conservation; 3. identification and evaluation of water management methods to accomplish the goal of reducing ground water overdrafts to reasonable levels; 4. development of program to evaluate water yield augmentation measures to meet long term States water commitments; 5. participation in Federal-State comprehensive water and related land resources planning.

**CRITERIA FOR SELECTING PROPOSALS:** Refer to FORMULA AND MATCHING REQUIREMENTS section above. The appropriation for the grant program is allocated to participants in two parts: on the basis of population, land area, and per capita income; on the basis of the Council's determination of need of a particular participant for a water resources planning program in comparison with the needs of all participants. In fiscal year 1981, all funds were awarded based on population, land area, per capita income and equal share. Due to Congressional budget action, this method reflects the Water Resources Council's efforts to award funds available in the most equitable manner possible.

# ENVIRONMENTAL PROTECTION AGENCY

## AIR, NOISE, AND RADIATION PROGRAMS

### 66.001 AIR POLLUTION CONTROL PROGRAM GRANTS

**FEDERAL AGENCY:** OFFICE OF AIR, NOISE, AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To assist State, municipal, intermunicipal, and interstate agencies in planning, developing, establishing, improving, and maintaining adequate programs for prevention and control of air pollution or implementation of national primary and secondary air quality standards.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for costs specifically incurred in the conduct of a project in accordance with the purposes enumerated in the approved application. These include personnel costs, supplies, equipment, training of personnel, travel, and other necessary expenditures during the approved project period. Funds may not be used for construction of facilities, nor for expenses incurred other than during each approved award period. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any municipal, intermunicipal, State, or interstate agency with legal responsibility for appropriate air pollution planning and control is eligible for grant support provided such organization furnishes funds for the current year in excess of its expenditures for the previous year for its air pollution program. The determination of expenditures is subject to decisions based on provisions of the Clean Air Act and applicable grant regulations. This program is available to each State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Governors (or their designated Plan agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (Revised). The application must supply evidence of legal authority for air pollution control; evidence of the availability of non-Federal matching funds; evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan; and a workable program officially adopted for the agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal Agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Branch. Application must meet the requirements of the grant regulations and will be reviewed to determine merit and relevancy of the proposed project.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Ninety days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** State, interstate and intermunicipal programs with an approved applicable State Implementation Plan may receive up to 75 percent Federal funding; others 66 2/3 percent Federal funding. The amount of Federal share of grant costs should be determined by reference to the entitlement criteria set forth in Section 105 of the Act. Not more than ten percent of the funds available shall be granted for air pollution control programs in any one State. Up to one-half of one percent of the funds are to be made available as a minimum to a State. However, award of these funds will be made only if the agencies within the State meet the requirements of the act and grant regulations.

**Length and Time Phasing of Assistance:** The terms of the grant shall be determined at time of grant award.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As specified in the grant award and through applicable regulations (usually quarterly interim, and final progress and expenditure reports).

**Audits:** Subject to inspection and audit by EPA and Comptroller General. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Grants) FY 81 $7,670,000; FY 82 est $87,730,000; and FY 83 est $44,555,000.

**Range and Average of Financial Assistance:** $7,025 to $6,449,000; $700,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, grant awards (including amendments), totaling $77,580,000, were made to State, local, and regional air pollution control agencies to develop, establish, improve and maintain air pollution control programs. A similar level of effort is planned for fiscal year 1982 with a decrease of effort in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Air Pollution Control Program Grants, EPA, 40 CFR Part 35; General Grant Regulations and Procedures, EPA, 40 CFR Part 30; "Grants Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For program information: Donald Smith, Control Programs Development Division, Office of Air Quality Planning and Standards, Office of Air, Noise, and Radiation, Environmental Protection Agency, Research Triangle Park, NC 27711. Telephone: (919) 541-5526; FTS (8) 629-5526.

**RELATED PROGRAMS:** 66.003, Air Pollution Control Manpower Training Grants; 66.006, Air Pollution Control—Technical Training; 66.007, Air Pollution Control—National Ambient Air and Source Emission Data; 66.008, Air Pollution Control—Technical Assistance; 66.009, Air Pollution Control—Technical Information Services; 66.501, Air Pollution Control Research Grants; 66.600, Environmental Protection Consolidated Grants—Program Support.

**EXAMPLES OF FUNDED PROJECTS:** 1) State Department of Environmental Protection, Bureau of Air Control; 2) County Air Pollution Control; 3) State Board of Health; 4) State Air Control Board; 5) State Air Resources Board, and 6) Local Air Pollution Control Agencies. Air control program grants are provided to State and local control agencies for purpose of operating programs that plan and implement activities to achieve ambient air quality standards.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria for awarding air pollution control program assistance grants are provided in 1977 Clean Air Act Amendments, Section 105, and set forth in State and local assistance grant regulations (40 CFR 35), section 35.520. Some of the criteria considered for award include the following: 1) No grant may be awarded unless the program contained in the grant application meets the requirements of Paragraph 35.526 and has been approved by the Regional Administrator. (Paragraph 35.526 requires the agency to prepare, in consultation with the Regional Administrator, a program based on the applicable implementation plan and EPA annual guidance.) 2) No grant may be awarded until the Regional Administrator has consulted with the official designated by the Governor(s) of the State(s) affected by such award pursuant to section 105(b) of the Clean Air Act. Such consultation should consider the role of the applicant in the enforcement of any applicable implementation plan and confirm that the applicant's program will be generally compatible with the objectives of the applicable implementation plan. 3) No grant may be awarded for any budget period when the estimated recurrent expenditures of non-Federal funds for the agency will be less than the recurrent expenditures of non-Federal funds were for such agency during the preceding budget period. 4) No grant may be awarded unless the Regional Administrator has determined that the agency has adequate air pollution control authority and necessary regulations to implement such authority.

## 66.003 AIR POLLUTION CONTROL MANPOWER TRAINING GRANTS

**FEDERAL AGENCY:** OFFICE OF AIR, NOISE, AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To develop career-oriented personnel qualified to work in pollution abatement and control. Grants are awarded for maintenance of environmental training programs and to increase the number of professionally trained pollution control abatement practitioners in State and local air pollution control agencies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** In addition to the EPA general grant conditions, each training grant is subject to the following conditions: (a) Recipients of assistance under training grants must be citizens of the U.S., its territories, or possessions or lawfully admitted to the U.S. for permanent residence. (b) The grantee shall not require the performance of personal services by trainees receiving financial grant assistance. (c) Generally, grants provide for student support through loans which are forgivable if the student serves two years in a governmental air pollution program. Amount of support is announced annually in program guidance issued by the program office (See Section 152).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Training grants are awarded to nonprofit academic institutions in the U.S. and territories. Traineeships are awarded to individuals by these grantee educational institutions. Trainees may be employees of state or local governmental air pollution control agencies and others who desire a career in governmental air pollution control work, but priority in awards is assigned to state/local air pollution control agency personnel.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with program office is advisable. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the Grants Administration Division, PM 216, U.S. Environmental Protection Agency, Washington, DC 20460.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project.

**Deadlines:** Established by annual program guidance.

**Range of Approval/Disapproval Time:** Ninety days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of five percent cost sharing is required of academic institutions.

**Length and Time Phasing of Assistance:** The project period for a training grant may not exceed three years. Traineeships may not exceed one year of full-time study.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Interim and final progress reports, expenditure, invention, and equipment reports.

**Audits:** Grants are subject to inspection and audit by representatives of EPA and the Comptroller General of the U.S., or any authorized representative. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0180-0-1-304.

**Obligations:** (Grants) FY 81 $480,000; FY 82 est $320,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $45,000 to $55,000; $50,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, grants were made to 11 universities with one year support for student education in the air pollution control field.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Forms and instructions for filing are included in application kit. Training Grants and Fellowships (Final Regulations), Environmental Protection Agency (40 CFR Part 45); General Grant Regulations and Procedures, EPA (40 CFR Part 30). "Grants Administration

Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information concerning grant applications and procedures, contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information, contact Fred Stinson, Control Programs Development Division, Office of Air Quality Planning and Standards, Office of Air, Noise, and Radiation, Environmental Protection Agency, Research Triangle Park, 27711. Telephone: (919) 541-2401; FTS (8) 629-2401.

**RELATED PROGRAMS:** 66.001, Air Pollution Control Program Grants; 66.006, Air Pollution Control—Technical Training.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 66.006 AIR POLLUTION CONTROL—TECHNICAL TRAINING

**FEDERAL AGENCY:** OFFICE OF AIR, NOISE, AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To provide technical training to personnel from State and local air pollution control agencies, to insure continued technical competence of State and local agency personnel, and to provide technical training of selected personnel from the Federal Government and industry.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Courses are offered at Research Triangle Park, NC, and at other sites across the nation. Self instructional courses and correspondence courses are also awardable. Interested applicants should write for a course schedule.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to those who are (1) employed by State or local air pollution control agencies in each State, territory and possession of the U.S., including the District of Columbia, or (2) otherwise qualified occupationally, and meet the requirements of the particular course. Contact Registrar for details on specific courses.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Course applications are required and may be obtained from office listed in Information Contacts Section.

**Award Procedure:** Not applicable.

**Deadlines:** Varies with course; file application at least 45 days before course begins.

**Range of Approval/Disapproval Time:** Approximately 14 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Salaries and Expenses) FY 81 $1,010,000; FY 82 est $1,010,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** This program assisted 3,000 persons in fiscal year 1981. The level of assistance is expected to be slightly lower in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Chronological Schedule of Air Pollution Training Courses.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** Registrar, Air Pollution Training Institute, or Ronnie Townsend, Control Programs Development Division, Office of Air Quality Planning and Standards, Office of Air, Noise, and Radiation, EPA, Research Triangle Park, NC 27711. Telephone: (919) 541-2401; FTS (8) 629-2401.

**RELATED PROGRAMS:** 66.001, Air Pollution Control Program Grants; 66.003, Air Pollution Control Manpower Training Grants; 66.008, Air Pollution Control—Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 66.007 AIR POLLUTION CONTROL—NATIONAL AMBIENT AIR AND SOURCE EMISSION DATA

**FEDERAL AGENCY:** OFFICE OF AIR, NOISE, AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To establish and operate a single, standardized system for acquisition, validation and editing, analysis, and retrieval of source data for emissions and air quality data for assessing the extent of air pollution for use by Federal, State, and local agencies as well as other organizations.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Provides data processing and analysis of raw air quality and source inventory data submitted by State and local Air Pollution Control Agencies or collected by Environmental Protection Agency. Make available to Federal, State, and local agencies data received from all locations and provide a data base for concerned citizens groups, academic research, and other investigators as well as for the Environmental Protection Agency. Fees for certain services may be charged in accordance with notice published in Federal Register 12/3/71. Fee schedule may be obtained from EPA Public Information Office, telephone: (202) 755-2808.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Data provided to Federal, State, and local government agencies, profit and nonprofit organizations, and individuals in each State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Information on available SAROAD and NEDS data and publications can be obtained from the AEROS representative in each EPA Regional Office or from the National Air Data Bank, telephone (919) 541-5582 or FTS 629-5582 or at Mail Drop 14, U.S. EPA, Research Triangle Park, NC, 27711.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** EPA personnel maintain records of computer usage.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Salaries and Expenses) FY 81 $2,100,000; FY 82 est $2,000,000; and FY 83 est $1,700,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Standardized air quality and source (emissions) inventory data handling systems have been established at the Federal level; air quality data from State and local agencies have been converted to standard formats; emission and source data have been collected and reduced to standard formats; data have been edited, validated, and statistically analyzed, and prepared for access by batch and interactive terminals.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "AEROS Users Manual"-EPA-450/2-76-029; "AEROS Summary and Retrieval Manual"-EPA-450/2-76-009.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** James R. Hammerle, National Air Data Branch, Monitoring and Data Analysis Division, Office of Air Quality Planning and Standards, Office of Air, Noise, and Radiation, EPA, Research Triangle Park, NC 27711. Telephone: (919) 541-5582; FTS (8) 629-5582.

**RELATED PROGRAMS:** 66.001, Air Pollution Control Program Grants; 66.003, Air Pollution Control Manpower Training Grants; 66.006, Air Pollution Control—Technical Training; 66.008, Air Pollution Control—Technical Assistance; 66.009, Air Pollution Control—Technical Information Services; 66.501, Air Pollution Control Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 66.008 AIR POLLUTION CONTROL—TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** OFFICE OF AIR, NOISE, AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To assist State and local Air Pollution Control Agencies in carrying out their responsibilities under the Clean Air Act.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Assistance includes the development of necessary plans to achieve and maintain national standards and to conduct necessary implementing programs. There are no use restrictions other than those of applicability to the control or prevention of air pollution and judgment as to propriety by the OAWM, EPA.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia. Applicant for assistance must be a State or local Air Pollution Control Agency or a Federal Agency.

**Beneficiary Eligibility:** Beneficiaries may be any public authorities, agencies, and institutions, private agencies, institutions, and individuals.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** An application, preferably written, should be directed to the EPA Regional Office by the appropriate State or local Air Pollution Control Agency.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None; in general the requesting parties are expected to participate in projects within limitations imposed by their available resources.

**Length and Time Phasing of Assistance:** No limitations except as may be imposed by resources available to the EPA Regional Office and the assignment of priority relative to other requests.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** No reports by recipient required. Project reports by the OAWM, EPA may vary from letters to extensive technical documents.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Salaries and Expenses) FY 81 $8,710,000; FY 82 est $8,500,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Provided assistance to states and local agencies in the technical aspects of Air Pollution Control; the assessment of Control Strategies Effectiveness; and the review, approval, and preparation of State Implementation Plans (SIP), either through assistance to the states or direct EPA action in cases of Promulgated Plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** There is no general program publication available. There are, however, a variety of published documents for completed technical studies and specific aspects of air pollution.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** None.

**RELATED PROGRAMS:** 66.001, Air Pollution Control Program Grants; 66.003, Air Pollution Control Manpower Training Grants; 66.006, Air Pollution Control—Technical Training; 66.007, Air Pollution Control—National Ambient Air and Source Emission Data; 66.009, Air Pollution Control—Technical Information Services; 66.501, Air Pollution Control Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 66.009 AIR POLLUTION CONTROL—TECHNICAL INFORMATION SERVICES

**FEDERAL AGENCY:** OFFICE OF AIR, NOISE, AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To provide information on the published literature on air pollution and to provide copies of EPA (and to a limited degree, other) publications as long as supplies last.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information on the published literature and publications can be used to plan, support, and facilitate many kinds of air pollution control activity.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Literature searches are made for: State and local governmental air pollution control agencies; U.S. territories and possessions; nonprofit citizens environmental groups; foreign governments; and EPA grantees and contractors. Publications are provided, while supplies last, to all parties upon request. Parties may be referred to USGPO or NTIS if a publication is not available.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For literature searches, verification of requester's identity is needed. For EPA contractors and grantees, project officer approval is needed.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** For literature searches, a letter or phone call describing the subject upon which information is needed should be communicated to the EPA/ERC library. To request copies of publications, a letter or telephone call specifying the item desired is necessary. See INFORMATION CONTACTS for address and telephone number.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Salaries Expenses) FY 81 $60,000; FY 82 est $60,000; and FY 83 est $51,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** 2,700 literature searches; 125,000 publications provided per year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The following service is indicative of the data collected and disseminated: technical abstracts on air pollution from retrospective literature searches.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Library Services Office, MD-35; U.S. Environmental Protection Agency; Research Triangle Park, N.C. 27711. Telephone: (919) 541-2777; FTS (8) 629-2777.

**RELATED PROGRAMS:** 66.006, Air Pollution Control—Technical Training; 66.007, Air Pollution Control—National Ambient Air and Source Emission Data; 66.008, Air Pollution Control—Technical Assistance; 66.501, Air Pollution Control Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 66.418 CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act, as amended; Sections 101(e), 109(b), 201 through 205, 207, 208(d), 210 through 212, 215 through 219, 304(d)(3), 313, 501, 502, 511, and 516(b); Public Law 97-117; Public Law 95-217; Public Law 96-483; 33 U.S.C. 1251 et seq.

**OBJECTIVES:** To assist and serve as an incentive in construction of municipal sewage treatment works which are required to meet State and Federal water quality standards.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** For construction of municipal wastewater treatment works including privately owned individual treatment systems, if a municipality applies on behalf of a number of such systems. Such works may serve all or portions of individual communities, metropolitan areas, or regions. A project may include, but may not be limited to, treatment of industrial wastes. Grantee must require pretreatment of any industrial wastes which would otherwise be detrimental to efficient operation and maintenance, or grantee must prevent the entry of such waste into the treatment plant. The grantee must initiate an acceptable system of user charges. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any municipality, intermunicipal agency, State, or interstate agency having jurisdiction over waste disposal. This program is available to each State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** (1) Certified copy of authorization from the applicant's governing body. Authorization must be current, and must designate by name and title the individual who will represent the applicant; (2) current description of the project; (3) statement explaining exact nature of any other Federal funds which may be used to finance the project; (4) comments and recommendations of State, metropolitan, or regional clearinghouse as to the project's conformance with any comprehensive plan developed for the area and a statement from the applicant relative to clearinghouse review; (5) applicant has provided assurance acceptable to the Regional Administrator that any necessary discharge permit has been or will be obtained in accordance with Section 401, of Public Law 92-500, as amended; (6) conformance with requirements set forth in 40 CFR Part 35; Subpart E. Second class directions published in the Federal Register at Vol. 47, No. 19, page 4066, dated January 28, 1982. Application may be made for grant assistance for building and erection of the treatment works with an allowance for planning and design costs at the time that the grant for construction is made.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication assistance, including necessary application forms, and, where appropriate, a preapplication conference should be scheduled with the State water pollution control agency. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised); see 40 CFR Part 30.305. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by this program. An environmental assessment is required for this program, which may require the development of an environmental impact statement by EPA.

**Application Procedure:** Application must be submitted through the State water pollution control agency to the appropriate EPA Regional Office.

**Award Procedure:** Projects considered for award must be approved by the State water pollution control agency and also certified by such agency as to priority over any other eligible projects. Award is made following such certification and approval by a Regional Office of EPA. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Funds authorized by the Congress are allotted to the states in accordance with Public Law 92-500, as amended. Grant awards within individual states are limited by the funds which have been allotted to such states.

**Deadlines:** None. However individual States may have established their own. Applicants should check with their respective State Water Polluton Control Agency.

**Range of Approval/Disapproval Time:** Up to 45 days.

**Appeals:** Appeals possible under 40 CFR 35.960 and 40 CFR, Part 30, Subpart J.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program operates under Section 202 of the Clean Water Act. The Federal grant may be for 75 percent of eligible project costs, or 85 percent for innovative or alternative technology processes. States may lower these percentages with the concurrence of the Regional Administrator pursuant to section 202(a)(1) of the Clean Water Act as amended by P.L. 96-483. The grantee must assure that they will provide all remaining costs. Some States assist grantees in providing all or part of the non-Federal share. See "USES AND USE RESTRICTIONS" for discussion of Joint Funding. The statistical factors used for allottment are 1) estimate of total cost of construction needed by States to meet requirements of the Clean Water Act - source: 1980 Needs Survey, cost Estimates for construction of Publically Owned Wastewater Treatment Facilities, EPA; and 2) State level population - source: P25, Census. There are no statistical factors used for eligibility.

**Length and Time Phasing of Assistance:** Grant payments are based on work completed, equipment delivered, or sometimes off-site manufacturing or services rendered. Final grant payment when construction is completed and after satisfactory final inspection.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual inspection by State agency for compliance with permit requirements including a written report concerning operation and maintenance of waste treatment facility.

**Audits:** Preaward, interim, and/or final audits may be performed. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years after final settlement, and if questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0103-0-1-304.

**Obligations:** (Grants) FY 81 $3,900,000,000; FY 82 est $3,500,000,000; and FY 83 est $2,400,000,000.

**Range and Average of Financial Assistance:** $675 to $290,800,000; $5,000,000.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 22,160 projects were assisted under the program for a total of approximately $31,187,000,000. As of the same date, there were 11,587 active projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants for Construction of Treatment Works, Environmental Protection Agency (40 CFR Part 35,Subpart E). General Grant Regulations and Procedures, EPA (40 CFR Part 30). "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031; "How to Obtain Federal Grants to Build Municipal Wastewater Treatment Works" (MCD-04 free). For other publications, make direct inquiry.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Information regarding appropriate waste treatment requirements and State and Federal assistance may be obtained from the State water pollution control agency. Individuals may also communicate with appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** William A. Whittington, Acting Director, Municipal Construction Division, WH-547, Office of Water Program Operations, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-8986 (use same 7-digit number for FTS); or Myron F. Tiemens, Acting Director, Facility Requirements Division, Office of Water Program Operations, Environmental Protection Agency, Washington, DC 20460. Telephone (202) 426-9404 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.418, Water and Waste Disposal Systems for Rural Communities; 14.218, Community Development Block Grants/Entitlement Grants; 66.419, Water Pollution Control—State and Interstate Program Grants; 66.426, Water Pollution Control—State and Areawide Water Quality Management Planning; 66.438, Construction Management Assistance Grants; 66.505, Water Pollution Control—Research, Development, and Demonstration Grants.

**EXAMPLES OF FUNDED PROJECTS:** New wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correcting of combined sewer overflows.

**CRITERIA FOR SELECTING PROPOSALS:** The project must be given priority by the State water pollution control agency through its priority system.

## 66.419 WATER POLLUTION CONTROL—STATE AND INTERSTATE PROGRAM GRANTS

### (Section 106 Grants)

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act, as amended, Section 106; Public Law 95-217; 33 U.S.C. 1251 et seq.

**OBJECTIVES:** To assist State and interstate agencies in establishing and maintaining adequate measures for prevention and control of water pollution.

**TYPES OF ASSISTANCE:** Formula Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Broad support for the prevention and abatement of water pollution including permitting, pollution control studies, planning, surveillance and enforcement; advice and assistance to local agencies; training; and public information. Funds cannot be used for construction, operation, or maintenance of waste treatment plants, nor can they be used for costs financed by other Federal grants. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and interstate water pollution control agencies as defined in the Federal Water Pollution Control Act. Agencies making application for funds must submit annually their pollution-control program to the appropriate EPA Regional Administrator for approval. Requirements of the program are based on Section 106 of the Act, and 40 CFR Part 35. This program is available to each State, territory and possession of the U.S., including the District of Columbia. Beginning fiscal year 1980, application will be made in the context of a State/EPA Agreement.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Governors (or their designated plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (Revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State and interstate agencies show compliance with 40 CFR 35, Subpart G.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal meetings are held between regional office and State applicant agency concerning program preparation. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). The grant agreement must adequately reflect the priorities identified in the State/EPA Agreement.

**Application Procedure:** The grants application must be submitted to the appropriate EPA Regional Office, Grants Administration Branch (See Appendix IV).

**Award Procedure:** Application is reviewed by appropriate EPA Regional Office in the context of the State/EPA Agreement, and if approved, signed by the Regional Administrator. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Date of submission for draft State/EPA Agreements is June 1. Final State/EPA Agreements must be submitted no later than September 1 to the appropriate EPA Regional Office (See Appendix IV).

**Range of Approval/Disapproval Time:** Approximately 30 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. As stated in the Clean Water Act, appropriated funds are prorated among the State and Interstate Water Pollution Control agencies on the basis of the extent of the water pollution problems in the respective states for an amount not less than its fiscal year 1971 grants. State allotment ratios are based on a count of pollution sources for each state compared to a count of pollution sources in the Nation. Interstate allotment ratios are based on the level of funding received in fiscal year 1973. Currently four factors are used in the formula: municipal dischargers, industrial dischargers, power generators and feed lots. The range of match varies greatly among states, reflecting their 1971 level of effort.

**Length and Time Phasing of Assistance:** One year; payments are approved quarterly and disbursed monthly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual expenditure reports; semiannual program evaluations; revised budget following reallocation of funds; other reports as Grant Agreement requires.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Grants) FY 81 $51,230,000; FY 82 est $51,200,000; and FY 83 est $40,845,000.

**Range and Average of Financial Assistance:** $8,000 to $2,870,000; $813,000 (est FY 81).

**PROGRAM ACCOMPLISHMENTS:** Each fiscal year 63 grants were awarded to encourage and support the conduct of Water Pollution Control programs by the 50 States, five territories, the District of Columbia, and six Interstate Commissions.

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Handbook of Procedures, State and Interstate Program Grants; Environmental Protection Agency, State and Local Assistance Programs, Subpart G-Grants for Water Quality Planning, Management and Implementation (40 CFR Part 35); "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** David Standley, Acting Director, Water Planning Division, Office of Water Program Operations, Office of Water, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 755-6928 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 15.950, National Water Research and Development Program; 66.418, Construction Grants for Wastewater Treatment Works; 66.426, Water Pollution Control—State and Areawide Water Quality Management Planning; 66.600, Environmental Protection Consolidated Grants—Program Support.

**EXAMPLES OF FUNDED PROJECTS:** Grants to States for the administration of State programs for the prevention, reduction and control of pollution. Activities funded include administration of State NPDES permit programs and treatment facilities construction; compliance and enforcement, monitoring, hazardous materials spills response, and nonpoint source controls implementation.

**CRITERIA FOR SELECTING PROPOSALS:** Section 106 funds are awarded to State agencies in accordance with overall water quality management needs expressed in individual State/EPA Agreements, the requirements of programs covered by these agreements, and annual EPA programs guidance.

## 66.423 WATER QUALITY CONTROL INFORMATION SYSTEM—ORIENTATION/ TRAINING SEMINARS, DATA AND MONITORING PUBLICATIONS

### (STORET—STOrage and RETrieval System)

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act, as amended; Public Law 95-217 33 U.S.C. 1251 et seq.

**OBJECTIVES:** To provide State, interstate, and other water pollution control and water resource management agencies orientation, and where requested, training in the use of the storage and retrieval (STORET) system used by EPA for handling water quality data; to provide user documentation on the capabilities and use of the system.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** For governmentally related water pollution control and resource management agencies which do not have ADP facilities, training provides use of ADP services available through EPA for handling water data. There are no use-restrictions on the training service; however, course will normally not be scheduled more than once per year for the same agency nor for fewer than 15 people. User documentation is available to these agencies with no use restrictions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Training services are furnished as resources allow to government or government connected (e.g., Federal, State, interstate) agencies where access to water quality and related data is required to pursue the official functions of the organization concerned. This program is available to each State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** For training, verbal notice should be furnished to either a regional office or to headquarters, OW, EPA, that an orientation or training seminar or course is desired. User documentation is available from the same sources and is usually sent by return mail.

**Application Procedure:** When verbal notice has been given, the request for the course should be formalized by letter, memorandum, etc., giving precise dates, places, and number of personnel who will be attending. User documentation may be requested verbally or by written request.

**Award Procedure:** Not applicable.

**Deadlines:** As noted above, verbal requests for seminars should be initiated at least 30 days in advance.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Indefinite length of assistance period. As previously noted, limited resources allow rescheduling about one year apart.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Salaries and Expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Training services furnished to governmentally related water pollution control and water resource management agencies range from providing documentation to provision of technical assistance. They vary according to expressed need. Forty-two states have direct access via remote computer terminal. Publications include the periodic "National Water Quality Inventory." Standard publications include "Model State Water Monitoring Program," "Minimal Requirements for a Water Quality Assurance Program," and "Basic Water Monitoring Program."

**REGULATIONS, GUIDELINES, AND LITERATURE:** Not applicable.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Requests for training should normally be handled through the regional field office of OW, EPA where telecommunication facilities are installed. Information pertaining to training, however, may be obtained at any one of the OW, EPA offices, including headquarters in Washington, DC. Publications are available from headquarters and regional offices (See Appendix IV).

**Headquarters Office:** Frederick D. Leutner, Acting Director, Monitoring and Data Support Division, Office of Water Regulations and Standards, Office of Water, Washington, DC 20460. Telephone: (202) 426-7764 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.425, Drinking Water Supply—Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** See ELIGIBILITY REQUIREMENTS.

## 66.425 DRINKING WATER SUPPLY—TECHNICAL ASSISTANCE

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY PROTECTION AGENCY

**AUTHORIZATION:** The Safe Drinking Water Act, as amended by Public Law 93-523, as amended by Public Law 95-190, Public Law 96-16, and Public Law 96-502.

**OBJECTIVES:** To assure that water supply systems serving the public meet minimum national standards for the protection of public health.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Assistance is available to any State and any utility which coordinates their request through a State. Technical assistance staff members commonly work through the State agency to provide assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local water supply regulatory agencies and public water supply operators or officials in each State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** The general public served by a water supply.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Apply to regional offices of EPA; or to EPA headquarters, Office of Drinking Water, Office of Water, Washington, DC 20460.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** Figures for salaries and expenses not identified.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, technical assistance was provided to States and through States, to a significant number of utilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Publications include: (1) the Public Notification Handbook, (2) Non-Community Water Systems Serving a Non-Residential Population, (3) Surface Impoundments and their Effects on Ground Water Quality in the U.S., (4) a Manual for Evaluating Contamination Potential of Surface Impoundments (5) various papers and reports produced by the staff and (6) Federal Register notices dealing with Non-Community Systems (FR 7-2-79), Interim Primary Drinking Water Regulations (40 CFR Part 141), Secondary Drinking Water Regulations, THM Regulations, and the Small System Strategy.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** John Trax, Office of Drinking Water, Office of Water, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 472-4152 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.423, Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications; 66.432, State Public Water System Supervision Program Grants; 66.433, State Underground Water Source Protection—Program Grants.

**EXAMPLES OF FUNDED PROJECTS:** Advisory services and counseling to States and utilities, development of training and certification programs for water supply operators, and evaluation of the public notification provisions of the Act; a study of employment practices in State Drinking Water Agencies; technical guides for water treatment and regionalization of water systems; and an assessment of the number of surface impoundments and their potential for groundwater contamination.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria to be determined on a case-by-case basis of program office.

## 66.426 WATER POLLUTION CONTROL—STATE AND AREAWIDE WATER QUALITY MANAGEMENT PLANNING

### (Section 208 Grants)

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act, as amended; Public Law 95-217; 33 U.S.C. 1251 et seq.

**OBJECTIVES:** To encourage and facilitate the development of water quality management plans by areawide agencies in designated areas and by the State in nondesignated planning areas. Section 208 grants have been eliminated for FY 82; however, many FY 81 208 grants will continue past FY 82.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Funds are provided to areawide and State planning agencies for a period determined in accordance with Section 208(f) of Public Law 95-217 to develop a water quality management plan for the area or areas approved by the appropriate Regional Administrator. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia. An applicant agency must be a local or regional planning agency designated by the Governor or appropriate local officials pursuant to Section 208(a)(2)-(4), and approved by the Administrator of EPA as the official areawide waste treatment management planning agency for the area; or a State agency identified by the Governor pursuant to Section 208(a)(6). Beginning in fiscal year 1980, application will be made in the context of a State/EPA Agreement.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** For areawide designated planning agencies, the application must contain the certifications set forth in 40 CFR 30.305-6. State agencies show compliance with 40 CFR 35, Subpart G. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication coordination with appropriate Regional Office recommended. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). In the case of an area designated by the Governor(s), the application and supporting data must be submitted by the State reviewing agency(ies) designated by the Governor(s) prior to submission to EPA. Additionally, in interstate cases, the application must be submitted to the Governor of the State wherein the greatest portion of the planning area resides. The grant application must adequately reflect the priorities identified in the State/EPA Agreement. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The grant application must be submitted to the appropriate EPA Regional Administration Office.

**Award Procedure:** Grant application is reviewed by appropriate EPA Regional Office in the context of the State/EPA Agreement and if approved, the grant is awarded by the Regional Administrator. Beginning in fiscal year 1980, Section 208 funds are awarded in accordance with individual State/EPA agreements. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Date of submission for draft State/EPA agreements is June 1. Final State/EPA Agreements must be submitted no later than September 1. Grant application forms must be submitted according to dates established by the Regional Administrators, depending upon the project to be funded. Consult the appropriate EPA Regional Office for details.

**Range of Approval/Disapproval Time:** Approximately 45 days.

**Appeals:** None.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** The Federal rate of assistance is up to 75 percent for all grants after October 1, 1977.

**Length and Time Phasing of Assistance:** As determined in accordance with Section 208(f) of Public Law 95-217; dependent on work plans for prior grantees. The advance payment method will be authorized, ordinarily.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Interim progress reports (as determined by the Regional Administrator) and quarterly financial status reports are required.

**Audits:** Grants are subject to inspection and audit by representatives of the Comptroller General of the U.S. and EPA or any authorized representative. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years after the end of each budget period and if questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

FINANCIAL INFORMATION:

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Grants) FY 81 $34,000,000; FY 82 $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $3,000 to $4,200,000; $492,000 (FY 79).

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, approximately 200 grant awards were made for fiscal year 1981 awards total approximately 190.

**REGULATIONS, GUIDELINES, AND LITERATURE:** State and Local Assistance programs, Subpart G-Grants for Water Quality Planning, Management and Implementation (40 CFR Part 35); General Grant Regulations and Procedures (40 CFR Part 30); Procedures for Providing Grants to State and Areawide Planning Agencies (40 CFR Part 130). "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact EPA Regional Offices listed in Appendix IV.

**Headquarters Office:** David Standley, Deputy Director, Water Planning Division, Office of Water Program Operations, Office of Water, EPA, Washington, DC 20460. Telephone: (202) 755-6928 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.418, Construction Grants for Wastewater Treatment Works; 66.419, Water Pollution Control—State and Interstate Program Grants; 66.432, State Public Water System Supervision Program Grants; 66.433, State Underground Water Source Protection—Program Grants; 66.438, Construction Management Assistance Grants; 66.451, Hazardous Waste Management Financial Assistance to States.

**EXAMPLES OF FUNDED PROJECTS:** Development of State and areawide plans and programs for control of priority nonpoint source control problems such as urban stormwater runoff, groundwater contamination, agricultural drainage and waste disposal, construction, including septic systems, mining and silvicultural runoff.

**CRITERIA FOR SELECTING PROPOSALS:** Section 208 funds are awarded to State and areawide agencies designated by Governors, in accordance with planning and pollution control priorities identified in individual State/EPA agreements, the requirements of programs covered by these agreements, and annual EPA programs guidance.

## 66.432 STATE PUBLIC WATER SYSTEM SUPERVISION PROGRAM GRANTS

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Public Health Service Act, as amended by the Safe Drinking Water Act, Public Law 93-523, as amended by Public Law 95-190, Public Law 96-16, and Public Law 96-502.

**OBJECTIVES:** To foster development and maintenance of State programs which implement the Safe Drinking Water Act.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** The funds are to be used to develop and implement a public water system supervision program adequate to enforce the requirements of the Safe Drinking Water Act. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies designated by the Governor or Chief Executive Officer of one of the States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, or the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (Revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication coordination with appropriate regional office recommended. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The grant application must be submitted to the appropriate EPA Regional Administrator.

**Award Procedure:** Program plan is reviewed, and if approvable, signed by the Regional Administrator. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Draft applications must be submitted by July 1; final applications by September 1.

**Range of Approval/Disapproval Time:** Approximately 45 days.

**Appeals:** None.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** This program operates under a statutory formula. Federal assistance is limited to 75 percent of eligible costs, not to exceed the State allotment. Funds appropriated each year are allotted on the basis of State population (30 percent) as contained in the most currently available Statistical Abstract; State land area (10 percent) as contained in the most currently available statistical Abstract; the number of community water systems in the State (48 percent) and the number of non-community water systems in the State (12 percent); all water system inventories being provided by the states. There are no statistical factors for eligibility.

**Length and Time Phasing of Assistance:** Annual grants.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Annual onsite evaluation, final financial and progress report as set forth in the grant agreement.

**Audits:** Grants are subject to inspection and audit by EPA, the Comptroller General of the U.S., or any authorized representative. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provision of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report or until any audit exceptions have been resolved.

FINANCIAL INFORMATION:

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Grants) FY 81 $30,405,000; FY 82 est $29,450,000; and FY 83 est $23,560,000.

**Range and Average of Financial Assistance:** (FY 81) $127,761 to $2,613,373; $620,517. (FY 82 est) $98,200 to $1,889,300; $601,020.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, there were 49 original grant awards and 49 additional grants through reallotments. To date, in fiscal year 1982, 40 States have received grants. Nine additional states are expected to receive grants during fiscal year 1982. It is expected that 50 states will be eligible for grants in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** State and Local Assistance, Grants for State Public Water System Supervision Programs (40 CFR Part 35); General Grant Regulations and Procedures (40 CFR Part 30). "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

INFORMATION CONTACTS:

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** John Trax, Office of Drinking Water, Office of Water, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 472-4152 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.425, Drinking Water Supply—Technical Assistance; 66.433, State Underground Water Source Protection—Program Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not available.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Adequacy of State's annual program plan for the adoption and enforcement of drinking water regulations which are no less stringent than the national primary drinking regulations. (2) Designation of a State agency to receive the grant and be responsible for conducting the public water system supervision program. (3) Compliance with requirements of 40 CFR 30 and OMB Circular No. A-95 (Revised).

## 66.433 STATE UNDERGROUND WATER SOURCE PROTECTION—PROGRAM GRANTS

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** The Safe Drinking Water Act, Public Law 93-523, as amended by Public Law 96-16, Public Law 95-190, and Public Law 96-502.

**OBJECTIVES:** To foster development and implementation of underground injection control (UIC) programs under the Safe Drinking Water Act (SDWA).

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** The funds are to be used to develop and implement an underground injection control program adequate to enforce the requirements of the Safe Drinking Water Act. Major program elements and outputs are listed in 40 CFR 35.670-4. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for futher information on statutory or other restrictions involved.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** State agencies designated by the Governor or Chief Executive Officer of: one of the states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, or the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (Revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Preapplication coordination with appropriate regional office recommended. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** The grant application must be submitted to the appropriate EPA Regional Administrator.

**Award Procedure:** Program plan is reviewed, and if approvable, signed by the Regional Administrator. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Draft State program plan should be submitted to the appropriate Regional Administrator by June 1; final application (including the annual State program plan submission) is due no later than August 1.

**Range of Approval/Disapproval Time:** Approximately 45 days.

**Appeals:** None.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** This program operates under a formula which uses criteria set forth in the SDWA, 81443(b)(4). Federal assistance is limited to 75 percent of eligible costs, not to exceed the State allotment. The statistical factors used for allocation include 1) population of State, based on data from Estimates, Statistical Abstracts, 1980 Census; 2) State land area, based on data from Statistical Abstracts, 1980, Census; 3) injection practices by State, based on data from "Water Problems Associated with Oil Production in the United States," 1964, EPA; and 4) disposal wells by State, based on data from EPA "Review and Assessment of Deep Well Injections and Hazardous Waste," 1971. There are no statistical factors for eligibility.

**Length and Time Phasing of Assistance:** Annual grants.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual onsite evaluation, final financial and progress report as set forth in the grant agreement.

**Audits:** Grants are subject to inspection and audit by EPA, the Comptroller General of the United States, or any authorized representative. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records including all documents which support entries on accounting records and substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report, or until any audit exceptions have been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Grants) FY 81 $7,800,000; FY 82 est $6,574,000; and FY 83 est $5,540,000.

**Range and Average of Financial Assistance:** FY 82 $37,400 to $458,300; $115,300.

**PROGRAM ACCOMPLISHMENTS:** The grant regulations were promulgated in October 1978 and revised August 1, 1980. The Underground Injection Control Regulations were promulagated in May 1980 as 40 CFR Parts 122, 123, and 124 and in June 1980 as CFR Part 146. Fifty-seven states and territories have been designated by the EPA Administrator as of March 1980. In fiscal year 1980, forty states received program grants, given to the States, or through EPA direct implementation. In fiscal year 1981, forty states received grant funds and programs were implemented in seventeen States. For fiscal year 1982, thirty-nine states will receive grant funds, and the remaining eighteen states/territories will be under direct program implementation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants for State Underground Water Source Protection Programs (40 CFR 35); General Grant Regulations and Procedures (40 CFR Part 30); "Grant Administration Manual," available from the National Technical Information Service, Springfield, VA 22161, on a subscription basis.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** Thomas Belk, Chief, Ground Water Protection Branch, Office of Drinking Water, Office of Water, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-3934 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.425, Drinking Water Supply—Technical Assistance; 66.432, State Public Water System Supervision Program Grants.

**EXAMPLES OF FUNDED PROJECTS:** Grant funds are utilized by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, identification of aquifers, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation.

**CRITERIA FOR SELECTING PROPOSALS:** 1. Adequacy of State's annual program plan for an enforceable underground injection control program; 2. compliance with requirements of 40 CFR 30 and 121, and OMB Circular No. A-95 (Revised); 3. designation of a State agency to receive the grant and be responsible for coordinating the underground water source protection program; 4. affirmation of the State's establishment of, or intent to establish, a UIC program within two years of the intent to assume primary enforcement responsibility for underground water source protection within the state within that same two-year period; 5. Demonstration of the State's intent, adequate legal authority and resources to implement specific program elements outlined in 40 CFR 122, 123, 124, 146; and 6. evidence that Federal grant funds will not supplant the State's non-Federal funding committed to underground water source protection efforts.

## 66.438 CONSTRUCTION MANAGEMENT ASSISTANCE GRANTS

### (State Delegation Program)

**FEDERAL AGENCY:** OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act, Section 205(g), as amended by Public Law 95-217 and Public Law 97-117; 33 U.S.C. 1251 et seq.

**OBJECTIVES:** To assist and serve as an incentive in the process of delegating to the States a maximum amount of authority for conducting day-to-day matters related to the management of the construction grant program. An overriding goal is to eliminate unnecessary duplicative reviews and functions.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To defray expenses incident to the States' assumption of full responsibility for the certification of the technical and administrative adequacy of specifically required construction grant documentation. Responsibilities which may be delegated include the certification of documents pertinent to the award of steps 1, 2, and 3 grants and related activities. The Regional Administrator shall retain authority for: (a) actual award of grants, (b) determinations under the National Environmental Policy Act of 1969, (c) civil rights determinations, (d) dispute and protest determinations, (e) resolution of audit exceptions, and (f) determination that an overriding Federal interest exists in a particular project which requires greater Federal oversight or participation. Restrictions also include required adherence to specifically defined functional areas/activities and output qualities which the State must maintain. In addition, EPA periodically monitors the State's program and the appropriateness and adequacy of its outputs. Section 205(g) of the Clean Water Act, 40 CFR Part 35, Subpart F, 40 CFR 35.1016 requires state to maintain 1977 level of effort unless there has been a general non-selective reduction in the programs of the executive management agencies of the State. Further check is the right of the grantee to request that the Regional Administrator review any adverse determinations. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal assistance programs in accordance with provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters office of the appropriate funding agencies for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Water Pollution Control Agency, or other agency designated by the Governor in any State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** State agencies involved in the administration of the construction grants program.

**Credentials/Documentation:** Formal agreement accompanying the application: (a) naming the State agency, (b)itemizing the grant functions to be delegated, and (c) outlining organization and staffing requirements. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication assistance should be obtained from the appropriate regional office. A delegation agreement must be executed between the State agency and the Regional Administrator before award of the initial grant. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program, (EPA form 5700-31, Application for Federal Assistance, Short Form).

**Application Procedure:** Requests for application forms and completed applications must be submitted to the appropriate EPA regional office. Negotiation of the delegation agreement constitutes a major part of the application procedure.

**Award Procedure:** Grant application and delegation agreement are reviewed by the appropriate EPA regional office and, if approved, grant is awarded by the Regional Administrator. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None. Deadlines apply only to the use and availability of funds. There may be certain working benchmarks established, but these are generally for planning purposes.

**Range of Approval/Disapproval Time:** There is no established time range.

**Appeals:** Since agreements are not consummated until problems are reconciled there should be no need for appeals. However, there is of course the possibility of appeal under 40 CFR Part 30, Subpart J and 40 CFR 35.960.

**Renewals:** None. A grantee has up to 5 years to expend obligated funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each fiscal year the Administrator may reserve an amount not to exceed 4 percent of a State's annual allotment based on authorized appropriations or $400,000, whichever amount is greater, for the purpose of making construction management assistance grants to defray costs of performing the delegated functions.

**Length and Time Phasing of Assistance:** Assistance is given for periods of up to five years and disbursements are made in accordance with prearranged schedules (supported by cost documentation from the recipient agency). Grants should cover at least two full years of operation.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic reports (timed as specified in the agreement) are required from the recipient agency. Evaluations will be conducted to review 205(g) grant expenditures, progress in meeting benchmarks in the delegation schedule, and the achievement of annually established program goals.

**Audits:** Preaward, interim and/or final audits may be performed by EPA auditors or their designated representatives. Other authorized EPA personnel may also conduct reviews/inspections as appropriate or necessary. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelilnes, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to the grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years after final settlement and if questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0103-0-1-304.

**Obligations:** (Grants) FY 81 $156,826,000; FY 82 est $84,224,000; and FY 83 est $88,500,000.

**Range and Average of Financial Assistance:** $493,072 to $10,473,744; $1,952,844.

**PROGRAM ACCOMPLISHMENTS:** As of February 1982, 14 States and Puerto Rico have received grants and have been certified to conduct certain aspects of the grant program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures (40 CFR Part 30); State Management Assistance Grants (40 CFR Part 35, Subpart F; September 27, 1978); Grants for Construction of Treatment Works—Subpart E (40 CFR Part 35, Subpart E; September 27, 1978); Program Operations Memorandum No. 78-5.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Interested parties may contact the appropriate regional office listed in Appendix IV of the Catalog.

**Headquarters Office:** Albert Pelmoter, Chief, Program Policy Branch, Municipal Construction Division, WH-547, Office of Water Programs Operations, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-8820. (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.418, Construction Grants for Wastewater Treatment Works; 66.426, Water Pollution Control—State and Areawide Water Quality Management Planning.

**EXAMPLES OF FUNDED PROJECTS:** State water pollution control agencies are provided funds to defray expenses incident to the State's assumption of full responsibility for the conduct of certain construction grants requirements. These activities include review and certification functions related to: plans and specifications inspections, grant applications, construction contracts, plans of study, user charge and industrial cost recovery systems, sewer use ordinance, adequacy of requests for payments, O & M manuals, sewer system evaluation surveys, value engineering, force account, etc.

**CRITERIA FOR SELECTING PROPOSALS:** Grants are given only to States and the State must possess (or be able to gain) the expertise requisite to carrying out the delegated functions. Agreements for such grants will stipulate the State's organizational unit (to carry out the functions), staffing plan, accounting and auditing system, detailed statement on delegated functions, and schedule for assuming additional delegated functions.

## 66.451 HAZARDOUS WASTE MANAGEMENT FINANCIAL ASSISTANCE TO STATES

**FEDERAL AGENCY:** OFFICE OF SOLID WASTE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** The Resource Conservation and Recovery Act of 1976, as amended by the Solid Waste Disposal Act of 1980, Public Law 94-580; Section 3011, 42 U.S.C. 6931, 6947, 6948 and 6949.

**OBJECTIVES:** To assist State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, storage and disposal of hazardous wastes.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Under Section 3011, funds may be used for development and implementation of authorized State hazardous waste programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies within the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (Revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State work plan is to be sent to the appropriate EPA Regional Office by August 1 of each year.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Office. The solid waste management staff of the appropriate EPA Regional Office (listed in the address appendix) is available to assist in preparation of the application.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** For States, application with approvable work program should be submitted by August 1 for grants to be awarded the following year.

**Range of Approval/Disapproval Time:** For states under Section 3011, 90 days.

**Appeals:** None.

**Renewals:** For states under Section 3011, grants are renewed annually, provided all requirements are met.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program operates under a regulatory formula. Statistical factors used for allocation include 1) State population, as determined by the 1970 Census, Revised 1976 Estimates of the Population of the States and Provisional 1977 estimates of the Population of the States, P25 CPR; 2) area measurement report for land area data, from the Census Area Measurement Reports; 3) number of generators of hazardous waste of States, based on studies conducted by EPA, Office of Solid Waste; and 4) quantities of waste generated annually, based on studies conducted by EPA, Office of Solid Waste. The statistical factor used for eligibility is that of States and trust territories, no source of data indicated. The formula is based on each State's population (40%); amount of waste produced (40%); number of manufacturers (15%), and land area (5%).

**Length and Time Phasing of Assistance:** Grants are normally funded on a 12-month basis (Federal Fiscal Year). Total project period varies according to program requirements. Assistance is awarded by advance payment method.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Interim and final progress reports, expenditures and equipment reports.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts in an institution. All records must be maintained for three years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** (Grants) FY 81 $30,000,000; FY 82 est $41,700,000; and FY 83 est $35,137,000.

**Range and Average of Financial Assistance:** $208,500 to $4,160,409.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, States will continue to develop and implement programs providing cradle-to-grave control of hazardous wastes (under Section 3011.)

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency, 40 CFR Part 30; State and Local Assistance, EPA, 40 CFR Part 35; "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State agencies are encouraged to communicate with the appropriate EPA Regional Administrator listed in the address appendix.

**Headquarters Office:** For information concerning preapplication coordination and application procedures, contact Grants Administration Division (PM-216), Environmental Protection Agency, Washington, DC 20460. Telephone: CML (202) 382-2232; FTS (8) 382-2232. For State program information on Section 3011 of RCRA, Contact D Dan Derkics, Office of Solid Waste, (WH-564), EPA, Washington, D.C. 20460.

**RELATED PROGRAMS:** 66.504, Solid Waste Disposal Research Grants; 66.600, Environmental Protection Consolidated Grants—Program Support.

**EXAMPLES OF FUNDED PROJECTS:** 1) State project to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Sec. 3011).

**CRITERIA FOR SELECTING PROPOSALS:** The State's annual work program provides the basis for determining whether the State is hazardous waste program continues to be eligible for approval and is being implemented by the State. (Sec. 3011).

# OFFICE OF RESEARCH AND DEVELOPMENT

## 66.500 ENVIRONMENTAL PROTECTION—CONSOLIDATED RESEARCH GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.; Clean Water Act as amended; Public Law 95-217; 33 U.S.C. 1251 et seq.; Section 8001 of the Solid Waste Disposal Act as amended by the Resource Conservation and Recovery Act of 1976; Public Law 94-580; 42 U.S.C. 6901; Public Health Service Act as amended by the Safe Drinking Water Act; as amended by Public Law 95-190; Federal Insecticide, Fungicide and Rodenticide Act; Public Law 92-516; 7 U.S.C. 136 et seq., as amended by Public Laws 94-140 and 95-396; Toxic Substances Control Act; 15 U.S.C. 2609; Public Law 94-469.

**OBJECTIVES:** To support research to determine the environmental affects and hence the control requirements associated with energy, to identify, develop, and demonstrate necessary pollution control techniques, and to evaluate the economic and social consequences of alternative strategies for pollution control of energy systems. To support research to explore and develop strategies and mechanisms for those in the economic, social, governmental and environmental systems to use in environmental management.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Projects which include research, but also contain other types of grant assistance, such as training, planning, etc., may be funded through the Environmental Protection Consolidated Grants-Special Purpose, which is described in 66.602. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions and individuals who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development laboratories is advisable for research cooperative agreement application. No preapplication assistance is availabe for research grant applications. An environmental impact assessment is required for this program.

**Application Procedure:** Request for application forms and completed applications must be submitted to the Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and to program evaluation; technical and extramural review determines the merit and relevance of the project. For demonstration grants notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure; however, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted which will be reviewed in the same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 5 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved project period may not exceed five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final progress, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspections and audit by representatives of the Comptroller General of the United States and EPA or any authorized representative. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0107-0-1-300.

**Obligations:** (Grants and Cooperative Agreements) FY 81 $15,301,000; FY 82 est $12,493,000; and FY 83 est $11,085,000.

**Range and Average of Financial Assistance:** (FY 81) $1,450 to $1,007,750; $141,673. (FY 82 est) $13,086 to $300,000; $107,774. (FY 83 est) average $141,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 108 awards were made. A decrease in the number of projects supported is expected for fiscal year 1982. In fiscal year 1983, grants and cooperative agreements to be awarded are estimated at 78. Detailed program information available in ORD Program Guide (see REGULATIONS, GUIDELINES, and LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part **40).**

**"Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; "EPA and the Academic Community, Solicitation for Grant Proposals" and the "Office of Research and Develop-**

ment Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information on grant applications and procedures contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.501, Air Pollution Control Research Grants; 66.502, Pesticides Control Research Grants; 66.504, Solid Waste Disposal Research Grants; 66.505, Water Pollution Control—Research, Development, and Demonstration Grants; 66.506, Safe Drinking Water Research and Demonstration Grants; 66.507, Toxic Substances Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.501 AIR POLLUTION CONTROL RESEARCH GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.

**OBJECTIVES:** To support and promote research and development projects relating to the causes, effects, extent, prevention and control of air pollution.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, for public, private, State universities and colleges, hospitals, laboratories, State and local health departments, and other public or private nonprofit institutions. Grants may also be awarded to individuals who have demonstrated unusually high scientific ability. Profit making organizations are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development laboratories is advisable for research cooperative agreement applications. No preapplication assistance is available for research grant applications. An environmental impact assessment is required for this program.

**Application Procedure:** Requests for application forms and completed applications must be submitted to the Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and to program evaluation; technical and extramural review determines the merit and relevance of the project. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure; however, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted which will be reviewed in same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 5 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved period may not exceed five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final progress, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspection and audit by representatives of the Comptroller General of the United States and EPA or any authorized representative. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Governmental Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0107-0-1-300.

**Obligations:** (Grants and Cooperative Agreements) FY 81 $11,112,000; FY 82 est $10,034,000; and FY 83 est $7,178,000.

**Range and Average of Financial Assistance:** (FY 81) $1,000 to $901,736; $127,721. (FY 82 est) $19,813 to $280,000; $80,601. (FY 83 est) average $125,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 87 awards were made. A slight decrease in the number of projects will be funded in fiscal year 1982. In fiscal year 1983, 57 grants and cooperative agreements are expected to be awarded. Detailed program information available in ORD Program Guide (see REGULATIONS, GUIDELINES, and LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40). "Grants Administration Manual," available from the National

Technical Information Service, Springfield, VA 22161 on a subscription basis ; "EPA and the Academic Community, Solicitation for Grant Proposals," and the "Office of Research and Development Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information concerning grant applications and procedures contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675. Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 47.050, Astronomical, Atmospheric, Earth and Ocean Sciences; 66.001, Air Pollution Control Program Grants; 66.003, Air Pollution Control Manpower Training Grants; 66.006, Air Pollution Control—Technical Training; 66.007, Air Pollution Control—National Ambient Air and Source Emission Data; 66.008, Air Pollution Control—Technical Assistance; 66.009, Air Pollution Control—Technical Information Services; 66.500, Environmental Protection—Consolidated Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.502 PESTICIDES CONTROL RESEARCH GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Federal Insecticide, Fungicide and Rodenticide Act, Public Law 92-516; 7 U.S.C. 136 et seq. as amended by Public Laws 94-140 and 95-396.

**OBJECTIVES:** To support and promote the coordination of research projects relating to human and ecological effects from pesticides, pesticide degradation products, and alternatives to pesticides.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for the allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, for public or private State colleges and universities, State and local governments, and individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development laboratories is advisable for research cooperative agreement applications. No preapplication assistance is available for research grant applications. An environmental impact assessment is required for this program.

**Application Procedure:** Requests for application forms and completed applications must be submitted to Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations, and to program evaluation; technical and extramural review determines the merit and relevance of the project. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure; however, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted which will be reviewed in same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 5 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved project period may not exceed five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final progress, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspections and audit by representatives of the Comptroller General of the United States and EPA or any authorized representative. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0107-0-1-300.

**Obligations:** (Grants and Cooperative Agreements) FY 81 $1,670,000; FY 82 est $171,000; and FY 83 est $1,247,000.

**Range and Average of Financial Assistance:** (FY 81) $12,500 to $500,000; $119,272. (FY 83 est) average $75,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 14 awards were made. A large decrease is estimated for fiscal year 1982. Fiscal year 1983 awards are expected to increase to 12. Detailed program information is available in ORD Program Guide (see REGULATIONS, GUIDELINES, AND LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency

(40 CFR Part 30); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40). "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; "EPA and the Academic Community, Solicitation for Grant Proposals", and the "Office of Research and Development Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information concerning grant applications and procedures contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 10.053, Dairy Indemnity Payments; 15.607, Environmental Contaminant Evaluation; 66.500, Environmental Protection—Consolidated Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.504 SOLID WASTE DISPOSAL RESEARCH GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976; 42 U.S.C. 6901; Public Law 94-580; Section 8001.

**OBJECTIVES:** To support and promote the coordination of research and development in the area of collection, storage, utilization, salvage or final disposal of solid waste.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for the allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, for public or private agencies, public, private, State universities and colleges, State and local governments, and individuals. Profit-making organizations are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development laboratories is advisable for research cooperative agreement applications. No preapplication assistance is available for research grant applications. An environmental impact assessment is required for this program.

**Application Procedure:** Requests for application forms and completed applications must be submitted to EPA Grants Administration Division, PM 216, Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations, and to program evaluation; technical and extramural review determines the merit and relevance of the project. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure; however, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted, which will be reviewed in same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 5 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved project period may not exceed five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final progress, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspection and audit by representatives of the Comptroller General of the United States and EPA or any authorized representative. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0107-0-1-300.

**Obligations:** (Grants and Cooperative Agreements) FY 81 $3,925,000; FY 82 est $5,220,000; and FY 83 est $5,128,000.

**Range and Average of Financial Assistance:** (FY 81) $1,600 to $466,185; $130,833; (FY 82 est) $17,563 to $175,000; $53,978. (FY 83 est) average $130,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 30 awards were made. In fiscal year 1982, 37 projects are expected to be awarded. The estimate of projects for fiscal year 1983 is 40. Detailed program information is available in ORD Program Guide (see REGULATIONS, GUIDELINES, AND LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Interim Regulations Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40).

"Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; "EPA and the Academic Community, Solicitation for Grant Proposals", and the "Office of Research and Development Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional** or **Local Office:** Individuals are encourage to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information concerning grant applications and procedures contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675, Environmental Protection Agency, Washington, DC 20460, Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.451, Hazardous Waste Management Financial Assistance to States; 66.500, Environmental Protection—Consolidated Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.505 WATER POLLUTION CONTROL—RESEARCH, DEVELOPMENT, AND DEMONSTRATION GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act as amended; Public Law 95-217; 33 U.S.C 1251 et seq.

**OBJECTIVES:** To support and promote the coordination and acceleration of research, development, and demonstration projects relating to the causes, effects, extent, prevention, reduction and elimination of water pollution.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policies. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, for public, private, State, and community universities and colleges, hospitals, laboratories, State water pollution control agencies, interstate agencies, State and local governments, other public or private nonprofit agencies, institutions; organizations; grants may also be awarded to individuals who have demonstrated unusually high scientific ability. Grants under certain sections of this law may be awarded to profit-making organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development Laboratories is advisable for research cooperative agreement applications. No preapplication assistance is available for research grant applications. Demonstration grant applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). An environmental impact assessment is required for this program.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Requests for application forms and completed applications must be submitted to the Environmental Protection Agency, Grants Administration Division, PM-216. Washington, DC 20460.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and to program evaluation; technical and extramural review determines the merit and relevance of the project. For demonstration grants, notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure; however, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted which will be reviewed in the same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Sections 104 and 107: a minimum of 5 percent cost sharing is required. Section 105(a), (c), (d): Federal funds shall not exceed 75 percent.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved project period may not exceed five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final programs, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspection and audit by EPA and the Comptroller General of the U. S. or any authorized representative. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0107-0-1-300.

**Obligations:** (Grants and Cooperative Agreements) FY 81 $14,034,000; FY 82 est $12,555,000; and FY 83 est (Research) $3,711,000, (Demonstration) $675,000.

**Range and Average of Financial Assistance:** Research Grants: (FY 81) $1,000 to $542,078; $107,215. (FY 82 est) $9,217 to $419,405; $84,041. (FY 83 est) average $85,000. Demonstration Grants: (FY 81) $25,000 to $595,000; $197,571. (FY 82 est) $75,000 to $100,000; $87,500. (FY 83 est) average $175,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 125 awards were made. A slight decrease in the number of projects is expected in fiscal year 1982 and a large decrease is expected in fiscal year 1983. Detailed program information is available in the ORD Program Guide (see REGULATIONS, GUIDELINES, AND LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40). "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 or a subscription basis; "EPA and the Academic Community, Solicitation for Grant Proposals," and the "Office of Research and Development Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with appropriate EPA Regional Office listed in Appendix IV. Grants authorized under Section 108 deal with pollution control in those areas which drain into the Great Lakes, and are handled by the Great Lakes Coordinator in the Region V office.

**Headquarters Office:** For information concerning grant applications and procedures contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 15.950, National Water Research and Development Program; 66.418, Construction Grants for Wastewater Treatment Works; 66.500, Environmental Protection—Consolidated Research Grants; 66.506, Safe Drinking Water Research and Demonstration Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of over-all project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.506 SAFE DRINKING WATER RESEARCH AND DEMONSTRATION GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Public Health Service Act as amended by the Safe Drinking Water Act as amended by Public Law 95-190.

**OBJECTIVES:** To conduct research relating to the causes, diagnosis, treatment, control, and prevention of physical and mental diseases and other impairments of man resulting directly or indirectly from contaminates in water or to the provision of a dependably safe supply of drinking water. Development and demonstration of any project which will demonstrate a new or improved method, approach, or technology for providing a dependably safe supply of drinking water to the public or which will investigate and demonstrate health implications involved in the reclamation, recycling, and reuse of waste waters for drinking and/or the preparation of safe and acceptable drinking water.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for the allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, for public, private State colleges and universities, public agencies, State and local governments, other organizations and individuals. Profit-making organizations are not eligible.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development laboratories is advisable for research cooperative agreement applicants. No preapplication assistance is available for research grant applications. An environmental impact assessment is required for this program. Demonstration grant applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised).

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Requests for application forms and completed applications must be submitted to the Environmental Protection Agency, Grants Administration Division, PM-216, Washington, DC 20460.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and to program evaluation, technical and extramural review to determine the merit and relevance of the project. Applications submitted under Section 1444 will be reviewed by the National Drinking Water Advisory Council prior to award. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure as such. However, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted and will be reviewed in same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Section 1442: minimum of 5 percent cost sharing is required. Section 1444: Total costs of construction of any facility shall not exceed 66 2/3 percent Federal and 75 percent of any other costs.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved project period may not exceed five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final progress, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspection and audit by representatives of the Comptroller General of the United States and EPA or any authorized representative. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grants accounts. All such records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0107-0-1-300.

**Obligations:** (Grants and Cooperative Agreements) FY 81 $8,742,000; FY 82 est $13,805,000; and FY 83 est $9,258,000.

**Range and Average of Financial Assistance:** (FY 81) $2,187 to $597,979; $116,555; (FY 82 est) $24,000 to $148,200; $81,545; (FY 83 est) average $115,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 75 awards were made. An increase in the number of projects supported is anticipated for fiscal year 1982. In fiscal year 1983, the number of awards is estimated to be approximately 80. Detailed program information is available in ORD Program Guide (see REGULATIONS, GUIDELINES, AND LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40). "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis: "EPA and the Academic Community, Solicitation for Grant Proposals" and the "Office of Research and Development Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information concerning grant applications and procedures, contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 15.950, National Water Research and Development Program; 66.500, Environmental Protection—Consolidated Research Grants; 66.505, Water Pollution Control—Research, Development, and Demonstration Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.507 TOXIC SUBSTANCES RESEARCH GRANTS

**FEDERAL AGENCY:** OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Toxic Substances Control Act; Public Law 94-469; 15 U.S.C. 2609; Section 10.

**OBJECTIVES:** To support and promote the coordination of research projects relating to the effects, extent, prevention, and control of toxic chemical substances or mixtures.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Available for the allowable direct cost expenditures incident to research performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** This program is available to each State, territory and possession of the U.S., including the District of Columbia, public or private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions and individuals who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMVB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussion with the Office of Research and Development laboratories is advisable for research cooperative agreement applications. No preapplication assistance is available for research grant applications. An environmental impact assessment is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Requests for application forms and completed applications must be submitted to Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Each application shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations, and to program evaluation; technical and extramural review determines the merit and relevance of the project. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Grants: June 1, 1982, October 15, 1982 and February 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 180 days.

**Appeals:** No appeals procedure; however, revised proposals may be submitted.

**Renewals:** None. Standard grant application should be prepared and submitted which will be reviewed in same manner as a new application and will compete for available funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 5 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Grants normally funded on a 12-month basis (yearly). Total approved project period may not exceed 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly interims and final progress, expenditure, equipment and invention reports.

**Audits:** Grants are subject to inspections and audit by representatives of the Comptroller General of the United States and EPA or any authorized representative. Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0101-0-1-300.

**Obligations:** (Grants) FY 81 $5,663,000; FY 82 est $7,540,000; and FY 83 est $5,544,000.

**Range and Average of Financial Assistance:** (FY 81) $2,059 to $414,744; $91,341. (FY 82 est) $13,000 to $126,024; $74,497. (FY 83 est) average $100,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 62 awards were made. The number of grants and cooperative agreements to be awarded in fiscal year 1982 is expected to increase. Awards in fiscal year 1983 will decrease. Detailed program information is available in ORD Program Guide (see REGULATIONS, GUIDELINES, AND LITERATURE Section below).

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40); "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; Order No.: NTIS UB/031; "EPA and the Academic Community, Solicitation for Grant Proposals," and the "Office of Research and Development Program Guide" available free from ORD Publications, EPA/CERI, Cincinnati, OH 45268.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For information concerning grant applications and procedures, contact Environmental Protection Agency, Grants Administration Division, PM 216, Washington, DC 20460. For program information contact Richard E. Marland, Office of Research and Development, RD-675, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 426-2355 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.500, Environmental Protection—Consolidated Research Grants.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** A proposal is judged for (A) scientific merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and for (B) program interest in terms of: (1) the need for the proposed research; and (2) relationship to objective(s) in an approved work plan.

## 66.600 ENVIRONMENTAL PROTECTION CONSOLIDATED GRANTS—PROGRAM SUPPORT

### (Consolidated Program Support Grants)

**FEDERAL AGENCY:** OFFICE OF ADMINISTRATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Including but not limited to: Clean Air Act, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.; Clean Water Act, as amended; Public Law 95-217; 33 U.S.C. 1251 et seq.; Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976; 42 U.S.C. 6901; Public Law 94-580; Federal Insecticide, Fungicide and Rodenticide Act; Public Law 92-516; 7 U.S.C. 136 et seq., as amended by Public Laws 94-140 and 95-396; Public Health Service Act as amended by the Safe Drinking Water Act, as amended by Public Law 95-190.

**OBJECTIVES:** The consolidated program support grant is an alternative grant delivery mechanism which allows a State or local agency responsible for continuing pollution control programs to develop an integrated approach to pollution control. An agency eligible for assistance for two or more pollution control programs may consolidate its assistance requests into a single application and receive a single consolidated award.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** The following pollution control programs are eligible for consolidation: 66.001, Air Pollution Control Program Grants; 66.419, Water Pollution Control—State and Interstate Program Grants; 66.432, State Public Water System Supervision Program Grants; 66.433, State Underground Water Source Protection—Program Grants; 66.438, Construction Management Assistance Grants; 66.451, Hazardous Waste Management Financial Assistance to States; and 66.700, Pesticides Enforcement Program Grants. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any State or local agency eligible to receive and administer funds for more than one pollution control program. See the appropriate program descriptions for specific "Applicant Eligibility."

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication communications should be directed to the appropriate EPA Regional Administrator. The State or local agency and the appropriate EPA Regional Office together have flexibility in developing the format of the application. EPA will standardize, where possible, the application procedures and the requirements and format of the application for the various programs being consolidated. Deviations from procedures and requirements of EPA grants administration regulations which impede the development and administration of a consolidated grant, may be approved by the Director, Grants Administration Division in EPA Headquarters. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). If an environmental impact assessment is needed for any of the individual programs being consolidated, it will be noted in the "Preapplication Coordination" section of each of the programs.

**Application Procedure:** The application should be submitted to the appropriate EPA Regional Office.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1, 1982.

**Range of Approval/Disapproval Time:** Up to 90 days.

**Appeals:** As described in 40 CFR Part 30, Subpart L.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** See applicable program descriptions for the "Formula and Matching Requirements" of each.

**Length and Time Phasing of Assistance:** Assistance is usually awarded for a one-year period coinciding with the Federal fiscal year. Letter of Credit with quarterly release of funds is the preferred payment method.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reporting by the State or local agency and performance monitoring by EPA will be the minimum necessary for sound program management. The minimum may vary from agency to agency depending upon the specific agency's demonstrated management abilities. There should be at least one progress report midway through the budget period. This may be either written or unwritten at the discretion of the Regional Office. A financial status report is required within 90 days of the end of the budget period.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Assistance to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** All records including documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If any litigation, claim or audit is started before the end of the three-year period, the records must be retained until the litigations, claims or audit findings have been resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0108-0-1-304.

**Obligations:** Estimates not available.

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** Thirteen consolidated program support grants totaling approximately $25,395,000 were awarded in fiscal year 1981 for an average grant of $1,953,000. Twelve consolidated grants totaling approximately $7,236,000 have been awarded for fiscal year 1982 to date for an average grant of $603,000. Both the number of grants and the average grant amount are expected to increase to approximately the fiscal year 1981 levels before the close of fiscal year 1982. Condolidated grants for fiscal years 1981 and 1982 to date have ranged from $25,000 to $5,430,000. There is not a separate consolidated grant appropriation. Therefore, the funds identified here are the aggregate of the individual program funds awarded through consolidated grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 40 CFR Part 30, General Grant Regulations and Procedures; 40 CFR Part 35, State and Local Assistance Regulations; EPA Annual Guidance provided to State and local agencies; and the "EPA Grants Administration Manual" available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No. NTIS UB/031.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** George Alapas, Grants Administration Division, PM 216, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 755-0850 (use same 7-digit number for FTS); and headquarters offices listed for applicable programs. See the individual program descriptions for program office contacts.

**RELATED PROGRAMS:** 66.001, Air Pollution Control Program Grants; 66.419, Water Pollution Control—State and Interstate Program Grants; 66.432, State Public Water System Supervision Program Grants; 66.433, State Underground Water Source Protection—Program Grants; 66.451, Hazardous Waste Management Financial Assistance to States; 66.700, Pesticides Enforcement Program Grants.

**EXAMPLES OF FUNDED PROJECTS:** Projects have been funded which combined as few as two of the eligible pollution control programs and as many as four.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are approved if funds are available, if the application satisfies the requirements of 40 CFR Parts 30 and 35 and applicable statutes, and if the proposed work program is feasible and compatible with the program priorities in EPA annual guidance.

## 66.603 LOAN GUARANTEES FOR CONSTRUCTION OF TREATMENT WORKS

**FEDERAL AGENCY:** OFFICE OF ADMINISTRATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Clean Water Act, as amended; Public Law 95-217; Section 213, 33 U.S.C 1251 et seq.

**OBJECTIVES:** To assist and serve as an incentive in construction of municipal sewage treatment works which are required to meet State and Federal water quality standards. To ensure that inability to borrow necessary funds from other sources on reasonable terms does not prevent the construction of any wastewater treatment works for which a grant has been, or will be awarded.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Applications for loan guarantees will be limited to financing certain portions of the eligible and allowable local share of a grant for construction of wastewater treatment works. EPA guarantees a loan from the Federal Financing Bank (FFB).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A State, interstate agency, a municipality, or an intermunicipal agency, which has applied for a construction grant under Title II of the Act (including grantees whose projects are eligible for reimbursement under Section 206 of that title) or which has committed itself to finance the local share of any project(s) for which a grant has been awarded, or for which an application is being processed. This program is available to each State, territory and possession of the U.S., including the District of Columbia.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The application shall include documentation of the following: (1) inability to obtain necessary financing; (2) ability to repay; and (3) other documentation required by 40 CFR 39.110.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Consultation with appropriate Regional Construction Grants and Grants Administration offices is recommended (see Appendix IV of the Catalog).

**Application Procedure:** Apply through the State agency to the appropriate EPA Regional office. Information required for a loan application should be provded in accordance with Part IV, Section C of EPA Form 5700-32, "Application for Federal Assistance" (Construction Grants), dated August, 1977 or later).

**Award Procedure:** If approved by EPA Administrator, loan guarantee contract will be issued to the Federal Financing Bank which disburses funds.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Information not yet available, no loan guarantees have been issued under this program.

**Appeals:** Appeals possible under 40 CFR 30, Subpart L, and 40 CFR 35.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None. However, fees are charged as follows: (1) Application processing. A non-refundable minimum fee of $1,000 or 1/8 of 1 percent of the loan amount, whichever is greater, but not to exceed $25,000 for processing applications. This fee will be submitted with the application and will be retained by EPA whether or not a loan is consummated. (2) Fee for issuance of a commitment to guarantee. This fee will be 1/2 of 1 percent of the principal amount of the loan. This fee is contingent upon the loan being obtained by the applicant and is payable within 30 days of the date of loan approval.

**Length and Time Phasing of Assistance:** Available for entire construction period. Funds are released as required, or in lump sum, as negotiated in loan agreement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fulfilled by requirements of "Construction Grants for Wastewater Treatment Works" program.

**Audits:** Fulfilled by requirements of "Construction Grants for Wastewater Treatment Works" program. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records must be maintained and preserved until three years after the notes or the obligations financed by the Federal Financing Bank have been retired.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-9301-0-3-304.

**Obligations:** (Loans Guaranteed) Not separately identifiable.

**Range and Average of Financial Assistance:** Information not available.

**PROGRAM ACCOMPLISHMENTS:** No loan guarantees have been issued as of February, 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 40 CFR Part 39, "Loan Guarantees for Construction of Treatment Works."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate Regional offices for Grants Administration and Construction Grants listed in Appendix IV of the Catalog.

**Headquarters Office:** Harvey G. Pippen, Jr., Director, Grants Administration Division (PM-216), EPA, Washington, DC 20460. Telephone: (202) 755-0850 (use same 7-digit number for FTS).

**RELATED PROGRAMS:** 66.418, Construction Grants for Wastewater Treatment Works.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Selection criteria are the same as the application requirements set forth in 40 CFR 39, "Loan Guarantees for Construction of Treatment Works," section 39.110.

# OFFICE OF ENFORCEMENT

## 66.700 PESTICIDES ENFORCEMENT PROGRAM GRANTS

**FEDERAL AGENCY:** OFFICE OF ENFORCEMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:** Federal Insecticide, Fungicide, and Rodenticide Act, as amended; Public Law 92-516; 7 U.S.C. 136 et seq as amended by Public Laws 94-140, Section 23(a) and 95-396.

**OBJECTIVES:** To (a) assist states in developing and maintaining comprehensive pesticide enforcement programs, (b) sponsor cooperative surveillance, monitoring and analytical procedures, (c) avoid duplication of effort, and (d) encourage regulatory activities within the states.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Available for costs specifically incurred in purchasing inspectional supplies and equipment; reimbursing State travel and per diem expenses associated with the performance of grant outputs; purchasing essential laboratory equipment and supplies; paying salaries for personnel performing inspectional, analytical, or managerial functions related to grant activities, and for administrative costs associated with the performance of grant outputs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies having pesticide enforcement responsibilities in each State, territory and possession of the U.S., including the District of Columbia, and Indian tribes.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The application must supply evidence of legal authority to conduct pesticides enforcement activities contemplated under the grant; evidence of the availability of non-Federal matching funds; and a workable program officially adopted for the agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Discussions or informal meetings with Regional program office concerning program preparation are advisable. Prior to approval of any grants, the official State Pesticides Regulatory Agency must coordinate local pesticide enforcement efforts. Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV).

**Award Procedure:** Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1, 1982.

**Range of Approval/Disapproval Time:** 90 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A minimum of 15 percent cost sharing is required.

**Length and Time Phasing of Assistance:** Grants are normally funded for the Federal fiscal year. Payments will be on an advance letter of credit or reimbursement basis; grantees must request the initial advance payment on SF 270, Request for Advance or Reimbursement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As specified in Regulations - 40 CFR Part 35, 750-786, and in the in grant award--usually quarterly with mid-year and year-end evaluations.

**Audits:** Grants are subject to inspection and audit by representatives of the Comptroller General of the U.S., EPA, or any authorized representative. Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Financial records including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 68-0106-0-1-304.

**Obligations:** (Grants) FY 81 $7,920,000; FY 82 est $8,702,000; and FY 83 est $6,918,000.

**Range and Average of Financial Assistance:** $10,000 to $428,000; $139,000.

**PROGRAM ACCOMPLISHMENTS:** Fifty-seven grants have been awarded as of March 1982. Agencies participating in the Federal cooperative enforcement grant program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities, which are generally common to all grants, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices.

**REGULATIONS, GUIDELINES, AND LITERATURE:** General Grant Regulations and Procedures, EPA (40 CFR Part 30); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35); Regulations - Assistance for Pesticide Enforcement and Applicator Training and Certification Programs (40 CFR Part 35), November 6, 1980, 750-786; "Grants Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; Order No.: NTIS UB/031.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact appropriate EPA Regional Office listed in Appendix IV.

**Headquarters Office:** For program information: A.E. Conroy II, Director, Pesticides and Toxic Substances Enforcement Division

(EN-342), EPA, Washington, DC 20460. Telephone: CML (202) 755-0970; FTS (8) 755-0970.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** State agencies participating in the Federal/State cooperative enforcement grant program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities, which are generally common to all grants, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls and warning notices.

**CRITERIA FOR SELECTING PROPOSALS:** Each application will be reviewed by the Environmental Protection Agency according to the following criteria: 1) Need: The need for the development, improvement and/or maintenance of a comprehensive pesticides enforcement program within the State. 2) State Pesticide Activity: The relative amount of pesticide production, formulation and use in a State, and the potential risk to human health and the environment from pesticide misuse or abuse. 3) Long-Term Impact: The potential of the grant to have a long-term beneficial impact on human health and the environment resulting from the comprehensive enforcement program. 4) Effectiveness of program: The past level and effectiveness of the state pesticide regulatory program.

# NATIONAL GALLERY OF ART

## 68.001 NATIONAL GALLERY OF ART EXTENSION SERVICE

**FEDERAL AGENCY:** NATIONAL GALLERY OF ART

**AUTHORIZATION:** 20 U.S.C. 71-75.

**OBJECTIVES:** To provide educational material including slide lectures, film strips, and motion pictures free of charge except for transportation costs to schools, colleges, and libraries across the Nation.

**TYPES OF ASSISTANCE:** Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Audio-visual materials for use in art education programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Schools, colleges, libraries, and clubs.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Write to the headquarters office for list of available materials.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Data on use of materials.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 33-0200-0-1-503.

**Obligations:** (Salaries and Expenses) FY 81 $468,000; FY 82 est $589,000; and FY 83 est $616,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, audiovisual art education materials relating to the nation's collection of paintings and sculptures were shown 40,000 times. In fiscal years 1982 and 1983 the number of showings is estimated at 41,000 and 42,000, respectively. In fiscal year 1981 Extension Programs on the Gallery's collections and exhibitions were seen by more than twenty-six million persons. This audience, more than triple that of the previous year, demonstrates the effectiveness of public and educational televison in bringing Gallery materials to vast numbers of people. Audience figures for FY 1982 should be similar, based on continuing provision of selected Extension Programs for public and educational television broadcast.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Department of Extension Programs, National Gallery of Art, Washington, DC 20565. Telephone: (202) 737-4215. Contact: Ruth Perlin, Telephone: (202) 842-6273 (FTS 8-737-6600), and Laura Schneider, Telephone: (202) 842-6263, (FTS 8-737-6600).

**RELATED PROGRAMS:** 39.005, National Audiovisual Center; 39.006, National Historical Publications and Records Grants; 45.003, Promotion of the Arts—Artists-in-Schools; 60.001, Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff; 60.013, Smithsonian Institution Traveling Exhibition Service.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# OVERSEAS PRIVATE INVESTMENT CORPORATION

## 70.002 FOREIGN INVESTMENT GUARANTIES

**FEDERAL AGENCY:** OVERSEAS PRIVATE INVESTMENT CORPORATION

**AUTHORIZATION:** Foreign Assistance Act of 1969, Title IV, Section 234(b); Public Law 91-175; 22 U.S.C. 2191 et seq.

**OBJECTIVES:** To guarantee loans and other investments made by eligible U.S. investors in developing friendly countries and areas.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** To guarantee loans and other investments against loss, as an encouragement to private U.S. investment in developing countries.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Guaranteed eligible investor must be citizen of the United States; corporation, partnership, or other association created under the laws of the United States or any State or territory, and substantially beneficially owned by U.S. citizens; or 95 percent owned foreign subsidiary of such entity.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter, followed by discussions with OPIC staff. If project can be encouraged, application instructions will be provided.

**Award Procedure:** Guaranty is issued directly to lender by OPIC.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Variable, depending on status and complexity of the project.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Variable, depending on characteristics of the project.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Projects submit quarterly and annual reports on operations and capital spending, and such other reports as OPIC may call for.

**Audits:** OPIC representatives may visit project and interview management regularly.

**Records:** All records of purchases, certain accounting records, drawdowns of all funds, for life of guaranty and 5 years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 71-4030-0-3-151.

**Obligations:** (Guarantees) FY 81 $175,295,000; FY 82 est $75,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Undetermined.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, eight guaranties were made; fiscal year 1981, seven guaranties were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Investment Finance Handbook", free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Janet Sullivan, Information Officer, Overseas Private Investment Corporation, Washington, DC 20527. Telephone: (202) 653-2800.

**RELATED PROGRAMS:** 70.003, Foreign Investment Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Flour mill, credit union, fertilizer manufacture, oil refining, hotel, mining, agribusiness, lumber, cement and paper.

**CRITERIA FOR SELECTING PROPOSALS:** See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

## 70.003 FOREIGN INVESTMENT INSURANCE

### (Political Risk Insurance)

**FEDERAL AGENCY:** OVERSEAS PRIVATE INVESTMENT CORPORATION

**AUTHORIZATION:** Foreign Assistance Act of 1969, Title IV, Section 234(a); Public Law 91-175; 22 U.S.C. 2191 et seq.

**OBJECTIVES:** To insure investments of eligible U.S. investors in developing friendly countries and areas, against the risks of inconvertibility, expropriation, and war, revolution and insurrection. New program to insure contractors and exporters against arbitrary drawings of letters of credit posted as bid, performance or advance payment guaranties.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** To encourage private U.S. investment in developing countries by protecting against certain political risks inherent in such investment. Investments, if not of a short-term nature, qualify for insurance if they contribute to the economic and social development of the host country. Special criteria may be applied to investments in natural resources extraction projects and large and sensitive projects. No insurance can be issued if investment has been made or committed prior to application; applicant must obtain approval of foreign government for the investment, for insurance purposes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Citizen of the United States; corporation, partnership or other association created under the laws of the United States or any State or territory, and substantially beneficially owned by U.S. citizens; or wholly owned foreign subsidiary of such corporation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Foreign government approval is required before insurance can be approved.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application forms available on request from Overseas Private Investment Corporation, Washington, DC 20527.

**Award Procedure:** Insurance is issued directly to the applicant by OPIC.

**Deadlines:** Application must be made prior to making or committing the investment.

**Range of Approval/Disapproval Time:** Will vary depending on size and complexity of project.

**Appeals:** Not applicable.

**Renewals:** Insurance contracts renewed annually, at investor's option.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Maximum insurance term is 20 years for equity investment; for loans, the term of the loan; for contracts, the term of the contract.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual election of current coverage, annual payment of fees, and such information as may be required in case of claim for compensation.

**Audits:** Not applicable.

**Records:** When claim for compensation is pending and after such payment is made, the investor has a duty to cooperate with OPIC in supplying all information requested pertaining to the claim. These responsibilities are clearly spelled out in each insurance contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 71-4030-0-3-151.

**Obligations:** (Insurance) FY 81 $1,129,596,854; FY 82 est $1,000,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $4,000 to $100,000,000; $2,500,000.

**PROGRAM ACCOMPLISHMENTS:** Under the insurance program in fiscal year 1981, private U.S. investment went to projects in 36 developing nations of Latin America, East Asia, Near East, Africa and Eastern Europe. No estimates are available for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Investment Insurance Handbook," free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Janet Sullivan, Information Officer, Overseas Private Investment Corporation, Washington, DC 20527. Telephone: (202) 653-2800.

**RELATED PROGRAMS:** 70.002, Foreign Investment Guaranties.

**EXAMPLES OF FUNDED PROJECTS:** Examples of insured projects include: commercial bank, animal feed processing, oil and gas processing equipment, construction of port facilities, and manufacture of baby foods, razor blades, microwave equipment, furniture, etc.

**CRITERIA FOR SELECTING PROPOSALS:** See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

## 70.004 PRE-INVESTMENT ASSISTANCE

### (Investment Surveys)

**FEDERAL AGENCY:** OVERSEAS PRIVATE INVESTMENT CORPORATION

**AUTHORIZATION:** Foreign Assistance Act of 1969, Section 234(d); Public Law 91-175; 22 U.S.C. 2191 et seq.

**OBJECTIVES:** To initiate and support through financial participation, the identification, assessment, surveying and promotion of private investment opportunities.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Funds may be provided for the investigation of developmental projects in the private sector of developing countries. Firms of "Fortune 1000" size are eligible only in those countries with per capita GNP below $520.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** U.S. firms capable of carrying project forward if survey indicates feasibility.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Financial statements; other applicable information on operations of applicant.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter, followed by discussions. If survey can be encouraged, application instructions will be provided.

**Award Procedure:** Financial assistance provided directly to applicant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Variable, depending upon status and complexity of project.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Normally not in excess of 50 percent of eligible costs.

**Length and Time Phasing of Assistance:** Time required by applicant to make survey. Disbursements are made as negotiated with OPIC.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic reports, as required by OPIC, on progress of survey.

**Audits:** At option of OPIC.

**Records:** Detail of survey costs to be funded.

**FINANCIAL INFORMATION:**

**Account Identification:** 71-4030-0-3-151.

**Obligations:** FY 81 $199,421; FY 82 est $175,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $10,000 to $300,000; $58,368.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, eight agreements were signed. In fiscal year 1981, 10 agreements were signed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Investment Finance Handbook," free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Janet Sullivan, Information Officer, Overseas Private Investment Corporation, Washington, DC 20527. Telephone: (202) 653-2800.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Food processing, tannery, machinery manufacture and distribution, metal products manufacture.

**CRITERIA FOR SELECTING PROPOSALS:** See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

## 70.005 DIRECT INVESTMENT LOANS

### (Dollar Loans)

**FEDERAL AGENCY:** OVERSEAS PRIVATE INVESTMENT CORPORATION

**AUTHORIZATION:** Foreign Assistance Act of 1969, Section 234(c); Public Law 91-175; 22 U.S.C. 2191 et seq.

**OBJECTIVES:** To make loans for projects in developing countries sponsored by or significantly involving U.S. small business or cooperatives.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Loans made to private sector projects in which there is significant involvement of U.S. small business, i.e. non "Fortune 1000" size, or cooperatives.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Privately owned firms or firms of mixed private and public ownership sponsored by or significantly involving U.S. small business or cooperatives.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Financial statements; other applicable information on operations of U.S. investor.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Letter, followed by discussions. If project can be encouraged, application instructions will be provided.

**Award Procedure:** Loan is made directly to applicant.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies according to status and complexity of project.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Significant equity investment by qualified U.S. investor.

**Length and Time Phasing of Assistance:** Variable depending on characteristics of the project; disbursement is made as specified in loan agreement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Projects submit quarterly and annual reports on operations and capital spending, and such other reports as OPIC may call for.

**Audits:** OPIC representatives may visit project and interview management regularly.

**Records:** All records of purchases, certain accounting records, drawdowns of all funds for life of loan and five years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 71-4030-0-3-151.

**Obligations:** (Loans) FY 81 $5,000,000; FY 82 est $7,000,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $325,000 to $2,500,000; $896,429.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, eight loans were made, and in fiscal year 1981 seven loans, were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Investment Finance Handbook," free.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Janet Sullivan, Information Officer, Overseas Private Investment Corporation, Washington, DC 20527. Telephone: (202) 653-2800.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Seafood processing, bus manufacturer, farm, tannery, meat packer, and metal, lumber culvert pipe plant.

**CRITERIA FOR SELECTING PROPOSALS:** See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

# ACTION

## 72.001 THE FOSTER GRANDPARENT PROGRAM (FGP)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title II, Part B, Section 211 (a); Public Law 93-113.

**OBJECTIVES:** Dual purposes of the program are: (1) to provide part-time volunteer service opportunities for low-income persons age 60 and over and (2) to give supportive person-to-person service in health, education, welfare and related settings to help alleviate the physical, mental, and emotional problems of children having special or exceptional needs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for: staff salaries and fringe benefits, staff travel, and project support expenses. An amount equal to 90 percent of the Federal share must be used for Foster Grandparent direct benefits. Assignment of Foster Grandparents to children may occur in residential and nonresidential facilities including preschool establishments and to children living in their own homes. Funds are not available for construction. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are made only to public or private nonprofit agencies or organizations, including State and local governments.

**Beneficiary Eligibility:** Foster grandparents must be: 60 years of age or over, with an annual income at or below eligibility levels set by the Director of ACTION, interested in serving children, and must be physically, mentally, and emotionally capable of serving the selected children on a person-to-person basis.

**Credentials/Documentation:** The applicant must furnish evidence of: availability of low-income older persons, approvable service settings, ability to provide sufficient matching non-Federal funds, and assurance of compliance with Title III of the Civil Rights Act of 1964. A nonprofit agency must submit certification that it has (1) legal authority to receive a grant and operate the program, (2) proof of its status as a nonprofit organization. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Organizations interested in exploring the possibility of developing a local FGP project should contact the appropriate ACTION State Program Office. Applications must contain or be supported by satisfactory assurances that the project has been developed, and will, to the extent feasible, be conducted in consultation with, or with the participation of, either the State agency on aging or the local Community Action Agency. ACTION issues Application Forms A-1017 and A-1018, as required by OMB Circular No. A-102, to applicants who have established their eligibility. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications are submitted to the ACTION State Program Office, with a copy to the State Office on Aging. State Offices on Aging have 45 days to review and make comments on applications. Community Action agencies have 45 days to review and comment on applications for projects in communities they serve. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations and OMB Circular No. A-102 for State and local governments.

**Award Procedure:** The ACTION Regional Director will make all grant awards. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 120 days after receipt of application by ACTION.

**Appeals:** No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunities to show cause in cases of refusal to refund.

**Renewals:** Grant continuation applications are submitted 120 days prior to the end of the last budget quarter.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 10 percent of the total project costs must be met by the applicant. In exceptional cases, the Director of ACTION will make grants in excess of 90 percent of total project budget costs. The statistical factor used for fund allocation is the low income elderly (60 years or over) population by Federal region and the source is the "Money, Income and Poverty Survey of Income and Education", 1975, Bureau of the Census. The statistical factor used for volunteer eligibility is based on not more than 125 percent of OMB poverty guidelines or 100 percent of the proverty guidelines plus State supplements to SSI, whichever is higher.

**Length and Time Phasing of Assistance:** Grant support and budget periods generally are one year, with grant continuation applications submitted each year. Payments are disbursed monthly or quarterly depending on size of grant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** ACTION Quarterly Financial Status Report, Project Progress Report, Quarterly Federal Cash Transaction Report.

**Audits:** ACTION grants are subject to audit by ACTION representatives or other authorized Federal personnel; this does not exclude audits by sponsor. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** All financial records including receipts, disbursements, and vouchers for Federal and non-Federal costs; copies of all contracts; personnel records; and job descriptions must be available for a period of three years from date of submission of Final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Grants) FY 81 $47,668,000; FY 82 est $47,952,000; and FY 83 est $47,952,000.

**Range and Average of Financial Assistance:** $2,000 to $1,307,988; $205,803.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, there were 18,093 Foster Grandparents serving approximately 54,300 children. Foster Grandparents served in 233 different projects in 50 states, the District of Columbia, Puerto Rico and the Virgin Islands. A total of 25 new projects were funded in fiscal year 1981. The program continues to explore expanded placements of Foster Grandparents in settings dealing with child abuse and delinquency prevention, especially where their presence and services can assist in the deinstitutionalization of children. In some noninstitutional settings, Foster Grandparents relate to other member(s) of the family of the child(ren) being served. Runaway youth, children involved in substance abuse and those having literacy problems are targeted for special emphasis.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1208; The Foster Grandparents Program (ACTION Flyer 4400-1); Foster Grandparent Program Operations Handbook (4405.90), ACTION Handbook 2650.2, Policies and Procedures for Business Management of Domestic Project Grants.

**INFORMATION CONTACTS:**

**Regional or Local Office:** ACTION Regional and State Offices; as listed in Appendix IV.

**Headquarters Office:** Jack Kenyon, Chief, Foster Grandparent Program, ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (202) 254-7605 or toll free (800) 424-8580 (x239).

**RELATED PROGRAMS:** 13.633, Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers; 13.635, Special Programs for the Aging—Title III, Part C—Nutrition Services; 13.645, Child Welfare Services—State Grants; 15.103, Indian Social Services—Child Welfare Assistance; 72.002, Retired Senior Volunteer Program; 72.008, The Senior Companion Program.

**EXAMPLES OF FUNDED PROJECTS:** In Augusta, Georgia, Foster Grandparents work in a juvenile detention facility helping the youth in education, guidance and companionship. In Seattle, Washington, Foster Grandparents work with severely burned children at the initial and early healing stages. The early assistance provided by the Grandparents greatly facilitates healing. In Syracuse, New York, Foster Grandparents patiently assist autistic children in completing basic tasks, and encouraging performance by praising accomplishments. The behavior of the autistic children served has shown extraordinary improvement. In Niagara Falls, New York, they provide care to infants and small children while teenage unwed mothers attend basic education classes. In Augusta, Maine, Foster Grandparents work to help teenagers prepare to move out of the Mental Health Institution into a community setting, such as group homes and foster homes. In Babylon, New York, ten partially disabled emotionally/mentally handicapped people who were formally institutionalized are now serving as Foster Grandparents themselves. They have gained a feeling of self-worth and their institutional cost to the public has been eliminated.

**CRITERIA FOR SELECTING PROPOSALS:** 1. Equitable distribution between residents of rural and urban areas; 2. Opportunity for minority and ethnic group participation; 3. Ability of applicant agency to legally receive and operate a Federal categorical grant; 4. Public or private nonprofit agency; 5. Evidence of availability of eligible volunteers; 6. Appropriate children with either exceptional or special needs available for Foster Grandparents to serve; 7. Workable, affordable transportation plan for Foster Grandparents transportation to and from volunteer stations; 8. Community support; 9. Existence of project Advisory Council to ensure community participation; 10. Evidence of worthwhile and attainable program goals and objectives.

## 72.002 RETIRED SENIOR VOLUNTEER PROGRAM (RSVP)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title II, Part A, Public Law 93-113.

**OBJECTIVES:** To establish a recognized role in the community and a meaningful life in retirement by developing a wide variety of community volunteer service opportunities for persons 60 years of age or over through development of community oriented, cost-shared projects.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be made to public agencies or private nonprofit community service organizations to assist in the development and operation of locally organized senior volunteer projects. This local community service organization, known as the (Retired Senior Volunteer Program) RSVP sponsor, develops a wide variety of volunteer service opportunities throughout the community in hospitals, schools, courts, day-care centers, libraries and other volunteer stations. The sponsor also arranges for transportation for the RSVP Volunteers as needed. Grants may be used for staff salaries and fringe benefits, staff travel, equipment, and related expenses, and for volunteer out-of-pocket expenses, primarily for transportation. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are made only to public and private nonprofit organizations including State and local governments.

**Beneficiary Eligibility:** Retired persons aged 60 and over.

**Credentials/Documentation:** The applicant must furnish evidence of: capacity to operate direct community service programs; experience and interest in the needs of older adults; and the ability to develop strong community financial and programmatic support. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. A nonprofit agency must submit certification that it has (1) legal authority to receive a grant and operate the program; and (2) proof of its status as a nonprofit organization.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Organizations interested in exploring the possibility of developing a local RSVP project should contact the appropriate ACTION State Program Office. ACTION issues application forms A-263 and A-1018 to applicants who have established their eligibility. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications are submitted to the ACTION State Program Office, with a copy to the State Office on Aging. State Offices on Aging have 45 days to review and make comments on applications. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations or OMB Circular No. A-102 for State and local governments.

**Award Procedure:** Grant awards are made by the Regional Directors of ACTION. Notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 120 days after receipt of application by ACTION.

**Appeals:** No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunities to show cause in cases of refusal to refund.

**Renewals:** Annual continuations.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The nonfederal support of the budget during the first year will not be less than 10 percent. Grantees are expected to increase the local share of the project cost by an added 10 percent the second year and to assume a minimum of 30 percent financial responsibility for the total project budget at the beginning of the third year and each year thereafter. These matching requirements are presently under review. The Statistical factor used for fund allocation is the population 60 and over by State and the source is the "Current Population Estimates", P-25, Bureau of the Census. The statistical factor used for volunteer eligibility is based on the age of the applicant.

**Length and Time Phasing of Assistance:** Grant support and budget periods are normally for 12 months, with continuation application filed annually; disbursements are made quarterly, or monthly for grants exceeding $120,000 annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Financial Status Report, Project Progress Report, Quarterly Federal Cash Transaction Report.

**Audits:** ACTION grants are subject to audit by ACTION representatives and other authorized Federal personnel; does not replace required audits by local grantee. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** All financial records including receipts, disbursements, and vouchers for Federal and nonfederal costs counted towards local share, copies of all contracts, personnel records, and job descriptions must be available for a period of three years from date of submission of Final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Grants) FY 81 $26,872,000; FY 82 est $26,426,000; and FY 83 est $26,511,000.

**Range and Average of Financial Assistance:** $10,000 to $450,000; $36,912.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, a total of 319,194 Retired Senior Volunteers were serving in 728 RSVP projects in the 50 States, the District of Columbia, Guam, Puerto Rico and the Virgin Islands.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR Part 1209, ACTION Handbook 2650.2, Policies and Procedures for Business Management of Domestic Project Grants, ACTION Handbook 4405.92, Retired Senior Volunteer Program Operations Handbook and "RSVP - Retired Senior Volunteer Program" (ACTION Flyer No. 4500-1), "RSVP - Retired Senior Volunteer Program" (ACTION Pamphlet 4500.9).

**INFORMATION CONTACTS:**

**Regional or Local Office:** ACTION Regional Offices and ACTION State Program Offices. Refer to Appendix IV of the Catalog for Regional Offices.

**Headquarters Office:** Director, Older Americans Volunteer Programs, ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (202) 254-7310.

**RELATED PROGRAMS:** 13.633, Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers; 13.635, Special Programs for the Aging—Title III, Part C—Nutrition Services; 13.645, Child Welfare Services—State Grants; 72.001, The Foster Grandparent Program; 72.008, The Senior Companion Program.

**EXAMPLES OF FUNDED PROJECTS:** 1) New Jersey - RSVP's are trained as senior advocates to assist other older persons in securing benefits under Social Security and health care programs. They also provide assistance in the preparation of income tax returns. Other volunteers who are retired pharmacists have started a program called "Project Spirit" to help older persons combat prescription drug abuse. 2. Minnesota - Minneapolis RSVP's work at a Crime Victim Assistance Program in conjunction with the Police Department. They gather reports of elderly people who have been crime victims. The volunteers then counsel and assist the victims in follow-up. 3) Vermont - Handicapped RSVP's have been recruited whose skills are utilized in making wooden sliding boards to be used to transfer stroke victims from bed to chair, and rehabilitation loom devices for nursing home residents. These volunteers also repair sleds for emotionally disturbed children. 4) Ohio- RSVP volunteers help to prepare and deliver nutritious meals to senior citizens under the Mobile Meals Program and, in addition, some have developed a program of monthly blood screening. The volunteers not only take the readings but have set up the administrative end of the program. 5) Connecticut RSVP volunteers provide tutorial services in the public school system and are assigned as consumer advocates to the State Department of Consumer Protection. These RSVP consumer advocates have conducted a survey on the prices of medication and provide information on generic drugs to the elderly.

**CRITERIA FOR SELECTING PROPOSALS:** 1. Demonstrated need for the program in the community to be served; 2. Evidence of community support for the program; 3. Goals and objectives that are clear, measurable and time-phased; 4. Assurance that program requirements will be complied with; 5. A potential sponsor has the following characteristics: a. Is a public or private nonprofit organization; b. Has authority to operate and administer the proposed project; c. Has the capacity to manage and operate community service programs; d. Has a good working relationship with other community service agencies and organizations especially those dealing with older persons; e. Has the capacity to develop sources of nonfederal support; f. Has a governing body or agency board which understands and endorses the nature and purpose of the program.

## 72.003 VOLUNTEERS IN SERVICE TO AMERICA (VISTA)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title I, Part A, Public Law 93-113, 42 U.S.C. 4951 et seq.

**OBJECTIVES:** To supplement efforts of private nonprofit organizations and public agencies to eliminate poverty and poverty-related problems by enabling persons from all walks of life and all age groups to perform meaningful and constructive service as volunteers.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** VOLUNTEER: Provides full-time full-year volunteers at the request of private nonprofit organizations and public agencies to work on clearly-defined tasks which address the problems of poverty. The volunteers live among the people they serve, at subsistence levels of support. All volunteers work to improve the community's ability to solve its own problems. Members of the poor community must actively participate in the development and implementation of the program. Low-income locally-recruited volunteers may be assigned to serve in their home communities. Projects must be responsive to the needs and desires of the people who are to benefit from them in order to be funded by VISTA. Volunteers are not to displace employed workers nor shall an agency supervising any volunteer program receive compensation for services of volunteers. Volunteers are not to be involved in religious, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Sponsors applying for VISTA Volunteers must be public agencies or private nonprofit organizations; including State and local governments. The project in which they propose to use the volunteers must be designed to assist in the solution of poverty related problems.

**Beneficiary Eligibility:** Persons who are assisted by VISTA Volunteer activities must be low-income and VISTA activities must directly benefit the poor.

**Credentials/Documentation:** An agency applying as a sponsor must be a bona fide public or private nonprofit agency concerned with the human, social and environmental problems related to poverty. The preferred proof of nonprofit status is a copy of the sponsor's IRS tax exempt certification under Section 501(c) of the Internal Revenue Code.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preliminary applications apply to standard VISTA projects. All application forms and assistance in applying for Volunteers may be obtained through the appropriate regional office listed in Appendix IV. Organizations interested in exploring the possibility of developing a local VISTA project must prepare the ACTION VISTA Preapplication Form 1024 available from, and to be submitted to ACTION State Offices.

**Application Procedure:** Prospective sponsors apply through ACTION State offices. The Governor or other chief executive officer of the State concerned may disapprove programs submitted within 45 days of their submission.

**Award Procedure:** Project applications are reviewed and judged by ACTION State and Regional Offices with final decisions rendered by the Director of VISTA.

**Deadlines:** The VISTA program is being phased out. Therefore, no applications are being accepted or will be accepted.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Sponsors may request an extension of time. In these cases, the Memorandum of Agreement would be modified to reflect the changes, subject to approval by the Director of VISTA.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factor used for fund allocation is the poverty status and race (population) of a region in 1975 and the source is the "Current Population Reports, Consumer Income" issued January 1976, "Characteristics of the Population below the Poverty Level", 1975, No. 106, Bureau of the Census. Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** VISTA Volunteers are assigned to a project for a given length of time as designated in the Memorandum of Agreement not to exceed one year. Individual volunteers commit themselves to a one-year term of service which may be extended with sponsor and VISTA approval.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Active VISTA projects are monitored by program officers and evaluation teams; Project Progress Reports.

**Audits:** Sponsors are subject to audit by ACTION.

**Records:** Sponsors are expected to maintain all records delineated by ACTION.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Direct program costs only) FY 81 $30,595,000; FY 82 est $15,040,000; and FY 83 est $231,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, approximately 4,119 VISTA Volunteers served with approximately 750 sponsoring organizations in 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam and American Samoa, in a variety of poverty related programs having to do with health, housing, education, community development, social services, manpower and economic development. Virtually all Volunteers in the future will be locally recruited. Common to these efforts is the VISTA philosophy that volunteers are assigned for a limited time to help get programs started or fully developed to be taken over and operated by local communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** VISTA Guidelines; VISTA Volunteer and Sponsor Handbook.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See ACTION regional office list in Appendix IV of the Catalog. Call toll-free: (800) 424-8580.

**Headquarters Office:** Larry Williams, Deputy Director of VISTA and the Service-Learning Program, Office of Domestic Operations, ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (202) 254-5195.

**RELATED PROGRAMS:** 72.005, National Center for Service-Learning.

**EXAMPLES OF FUNDED PROJECTS:** VISTA's are tutoring and counselling troubled youth; developing veterans' outreach centers; working with RSVP Volunteers to establish programs for the elderly; setting up drug abuse action centers; and working with runaway youth.

**CRITERIA FOR SELECTING PROPOSALS:** The following criteria are used by ACTION staff in the selection of VISTA sponsors and in approval of new and continuation projects. All of the elements stated must be found in the applicant sponsor's proposal. The project must: (1) Be poverty oriented in scope and comply with the provisions of the Domestic Volunteer Service Act of 1973 applicable to VISTA and all published regulations and ACTION policies; (2) Comply with applicable financial and fiscal requirements established by ACTION or other elements of the Federal Government: (3) Show that the goals, objectives and Volunteer tasks are attainable within the time frame during which the Volunteers will be working on the project and will produce a measurable result; (4) Provide for reasonable efforts to recruit and involve low-income community residents in the planning, development and implementation of the VISTA project; (5) Provide for frequent and effective supervision of the Volunteers; (6) Identify resources needed and make them available for Volunteers to perform their tasks; and (7) Have the management capability to carry out the project.

## 72.005 NATIONAL CENTER FOR SERVICE-LEARNING

## (NCSL)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title I, Part B; Public Law 93-113.

**OBJECTIVES:** To assist secondary and post-secondary educators and nonprofit organizations educators to begin new and improve existing local student service-learning programs which provide services to the poverty community.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training; Project Grants.

**USES AND USE RESTRICTIONS:** Consultant services, training and technical assistance materials are available through the National Center for Service-Learning (NCSL). Through its Young Volunteers in ACTION (YVA) Program, ACTION also sponsors demonstration grants which support the development of service-learning.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any college or high school, desiring to create a new service-learning program, or improve an existing program, may apply to NCSL for free technical assistance materials and consultant services. Any local agency which uses student volunteers, and any State or national organization desiring to assist the development of service-learning programs may also apply. Training is available for directors and advisors of student volunteer and service-learning programs.

**Beneficiary Eligibility:** High school and college student volunteers; secondary and post-secondary educators; social service agencies and nonprofit organizations which use students in their programming.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Requests for consultant services must be made in writing by a high school, college, agency or organization official on behalf of the students, and must describe the type of consultation needed. Requests for materials may be made by students and program coordinators either in writing or by telephone to the NCSL. Professional directors/advisors may write or call to register for training sessions which are held periodically throughout the school year. Requests for applications for YVA demonstration project grants may be requested from any ACTION State or regional Office.

**Award Procedure:** YVA Demonstration Grants: Applications will be reviewed by ACTION staff and further information may be requested by telephone or site visit. Applicants will be notified of the agency decision by mail.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** YVA Demonstration grants: Project sponsors may receive second year renewal grants dependent on achievement of first year goals and availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 10 percent in-kind required for YVA demonstration grants.

**Length and Time Phasing of Assistance:** YVA is for one year with an optional renewal for the second. No further funding for program thereafter.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For Grants: Quarterly Financial Status Report, Quarterly Federal Cash Transactions Report, Project Progress Report.

**Audits:** ACTION grants are subject to audit by ACTION, the General Accounting Office, other Federal audit agencies, and contract auditors. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Grantees must retain all financial records including receipts, disbursements, and vouchers for Federal and nonfederal costs, copies of all contracts, personnel records, and job descriptions for a period of three years after submission of Final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506

**Obligations:** FY 81 $2,752,000; FY 82 est $1,757,000; and FY 83 est $1,830,000.

**Range and Average of Financial Assistance:** $20,000 maximum for YVA demonstration grants.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, NCSL responded to nearly 2,000 individual requests for technical assistance, trained approximately 250 high school and college coordinators of service-learning programs in 22 training seminars, provided over 250 days of staff and expert consultation, and produced three issues of SYNERGIST, the National Center's periodical. The YVA Program awarded 12 Demonstration Grants funding 8600 part-time volunteers, ages 14 to 22, who will work at least eight hours per month on a variety of community projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available free from NCSL are the following materials: "Evaluating Service-Learning Programs"; "Planning by Objectives"; "High School Student Volunteers"; SYNERGIST Journal, published three times yearly; "High School Courses with Volunteer Components"; "Its Your Move, a Manual for Community Organizations"; "and an index of articles published in the SYNERGIST Journal over the past ten years. Individuals requesting assistance should identify specific needs for information rather than asking for materials by title. Literature listed above is only a small compilation of material available from NCSL. Guidelines for the YVA Program grants may be obtained from ACTION's Washington Office, Room M-1007 or from any ACTION State or regional office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** No regional contact. Call toll free (800) 424-8580, ext. 89 in Continental U.S.; (800) 424-9704, extension 89, in Alaska and Hawaii.

**Headquarters Office:** ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. Contact: National Center for Service-Learning, Lyn Baird. Telephone: (202) 254-8370. Young Volunteers in ACTION, Barbara Wyatt. Telephone: (202) 254-8458.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Broad spectrum of volunteer service-learning activities for youth addressing the problems of poor communities such as: literacy, drug abuse prevention, runaway youth, refugee assistance, the elderly and other poverty-related needs.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 72.008 THE SENIOR COMPANION PROGRAM (SCP)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title II, Part B, Public Law 93-113.

**OBJECTIVES:** To provide volunteer opportunities for low-income older people which enhance their ability to remain active and provide critically needed community services; to provide long term care by assisting adults, primarily older persons with mental, emotional and physical impairments, to achieve and maintain their fullest potential to be healthy and to manage their lives independently through development of community oriented, cost-shared projects.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants may be used for: Senior Companion stipends, transportation, physical examinations, meals, staff salaries, fringe benefits, travel, equipment, space costs, etc. Assignment of Senior Companions to adults may occur in residential and nonresidential facilities and to older persons in their own homes. Funds are not available for construction. JOINT FUNDING: This program is considered suitable for joint funding with closely related federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants are made only to public or private nonprofit agencies or organizations, including State and local governments.

**Beneficiary Eligibility:** Senior Companions must be: 60 years of age or over, with an annual income at or below levels set by the Director of ACTION; interested in serving adults, and must be physically, mentally, and emotionally capable of serving on a person-to-person basis.

**Credentials/Documentation:** The applicant must furnish evidence of: availability of low-income older persons, approvable service settings, ability to provide sufficient matching nonfederal funds and assurance of compliance with Title III of the Civil Rights Act of 1964, as amended. A nonprofit agency must submit certification that it has: (1) legal authority to receive a grant and operate the program, and (2) proof of its status as a nonprofit organization. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit organizations, and ACTION Handbook 2650.2.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Organizations interested in exploring the possibility of developing a local SCP project should contact the appropriate ACTION State Program Office. Applications must contain or be supported by satisfactory assurances that the project has been developed and will, to the extent feasible, be conducted in consultation with, or with the participation of, the local Community Action Agency, and the State Office on Aging if the service area covers more than one community. ACTION issues Application Forms A-263 and A-1018 to applicants who have established their eligibility. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** An original and two copies of each form are to be submitted to the ACTION State Program Office, with a copy to the State Office on Aging. State Offices on Aging have 45 days to review and make comments on applications. Community Action Agencies have 45 days to review and comment on applications for projects in communities they serve. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations and OMB Circular No. A-102 for State and local governments.

**Award Procedure:** The ACTION Regional Director awards grants. Notification of awards must be made to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 120 days after receipt of application by ACTION.

**Appeals:** No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunities to show cause in cases of refusal to refund.

**Renewals:** Yearly continuation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least 10 percent of the total approved budget must be met by the applicant. In exceptional cases, the Director of ACTION will make grants in excess of 90 percent of total project budget costs.

**Length and Time Phasing of Assistance:** Grant support and budget periods are normally for one year, with continuation applications submitted each year. Payments are disbursed quarterly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** ACTION Quarterly Financial Status Report, Project Progress Report, Quarterly Federal Cash Transaction Report.

**Audits:** ACTION grants are subject to audit by ACTION representatives or other authorized federal personnel; Federal audits do not replace audits by sponsor as required by OMB regulations. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** All financial records including receipts, disbursements, and vouchers for federal and nonfederal costs; copies of all contracts; personnel records; and job descriptions must be available for a period of three years from date of submission of final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Grants) FY 81 $12,783,000; FY 82 est $12,016,000; and FY 83 est $12,016,000.

**Range and Average of Financial Assistance:** $2,000 to $262,000; $182,000.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, there were 4,550 Senior Companions serving approximately 16,000 adults with special needs in 80 ACTION-funded projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1207, "ACTION Senior Companion Program" (Flyer 4401.2), Senior Companion Program Operations Handbook, 4405.91, and ACTION Handbook 2650.2. Policies and Procedures for Business Management of Domestic Project Grants.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Refer to Appendix IV of the Catalog for Regional Offices.

**Headquarters Office:** Suzanne Fahy, Chief, Senior Companion Program, ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (202)— 254-7310.

**RELATED PROGRAMS:** 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Program.

**EXAMPLES OF FUNDED PROJECTS:** 1. In Carbondale, PA, Senior Companions assigned to St. Joseph's Hospital serve elderly clients who will be discharged from this acute care hospital within a month. They form a one-to-one relationship with the clients in the hospital, help them make arrangements to go home, and serve them at home during recuperation. Clients are elderly persons who usually have no assistance from family. Senior Companions link them to needed community social services and arrange for friendly visiting from community volunteers when they are reassigned. 2. In Helena, MT, Senior Companions are helping discharged mental patients adjust to community living. One Senior Companion is assigned to three elderly clients who have a three-bedroom apartment. She is helping them with basic home management: how to list items needed at the store, how to estimate the cost, how to go through the supermarket and select items and check the prices, how to make change, and how to put the items away in an orderly manner. 3. A blind Senior Companion in Oregon serves in a nursing home; he feels more secure in the nursing home as he knows his way about. One of his clients was an elderly man who had suffered a stroke. The client was depressed and would not try exercises. The SC talked to him frequently and got him out of his depression and into physical therapy treatment. The stroke victim recovered sufficiently to return home where another SC is now encouraging him to continue the exercises, eat properly and be interested in his surroundings. 4. In Waterloo, Iowa, 5 SC's are serving as members of hospice care teams who ease the emotional, physical and mental suffering of terminally ill elderly persons. One hospice care team served a man who had terminal cancer and helped his wife through the ordeal. The man died and his wife became a Senior Companion. 5. A Portuguese-speaking Senior Companion in Hawaii serves a lady in her 80's who is almost totally blind, lives alone, has a fiery temper and has alienated all of her children. She speaks only Portuguese. The SC has arranged for a chore worker, but the chore worker will only come when the SC is there. The SC pays no attention to the client's temper; she knows the client would be institutionalized without her.

**CRITERIA FOR SELECTING PROPOSALS:** 1. Equitable distribution between residents of rural and urban areas; 2. Opportunity for minority group participation; 3. Ability of applicant agency to legally receive and operate a Federal categorical grant; 4. Public or private nonprofit agency; 5. Evidence of availability of eligible volunteers; 6. Workable, affordable transportation plan for volunteer transportation to and from volunteer stations; 7. Community support; 8. Existence of Project Advisory Council with appropriate individual qualifications; 9. Evidence of appropriate, measurable, time-phased goals and objectives.

## 72.010 MINI-GRANT PROGRAM

### (Mini-Grants)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title I, Part C, Section 122 (a); Public Law 93-113; 42 U.S.C. 4993.

**OBJECTIVES:** To utilize and promote volunteering and voluntary action; to assist emerging or established organizations among low-income and community-based groups; to initiate, strengthen and/or supplement volunteer efforts and to encourage broad-based volunteer citizen participation which will develop and enhance community self-reliance. Intended to meet a broad range of basic human needs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The use of federal funds must be directly related to supporting the project volunteers, such as for meals, transportation, child care, training, printing, supervision, etc. Grantees are encouraged not to spend funds on expensive office equipment. Awards shall not exceed $10,000 for local projects or $15,000 to organizations for a project that relates to an entire state or federal region. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public agencies or private nonprofit organizations, including hospitals or institutions of higher education, and units of State and local government which utilize, or will utilize, volunteers as an integral part of their provision of services.

**Beneficiary Eligibility:** Communities having human, social and environmental problems, particularly those related to poverty.

**Credentials/Documentation:** An agency applying for a grant must be a bona fide public or private nonprofit agency including State and local governments concerned with human, social and environmental needs. Its acceptability may be established by proof of its nonprofit status or by its official position as a public agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for private, nonprofit organizations, and OMB Circular No. A-21 for institutions of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Sponsors applying for an ACTION Mini-Grant should initially coordinate development of a proposal by contacting the ACTION headquarters office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Mini-Grant applications will be submitted to the ACTION Office of Volunteer Liaison on ACTION Form A-1017, Applications for Federal Assistance. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:** Applications are reviewed by the Office of Volunteer Liaison. Acceptable sponsors are notified when a Notice of Grant Award is dispatched to them. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Established by the Office of Volunteer Liaison.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions.

**Renewals:** Grants are awarded on a one-time basis and are non-renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The federal share of the grant award shall not exceed $10,000 for a local project or $15,000 for a project that relates to an entire state or Federal region. All grants of $3,500 or more in federal funds require a minimum matching share of 10 percent of the total grant cost. The matching share can be cash or an in-kind contribution, such as a project director's salary and fringe benefits, space or equipment used by the project, or meals provided to project volunteers.

**Length and Time Phasing of Assistance:** The project period may not exceed one year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Active projects are monitored by ACTION Program Specialists and evaluation teams. Grantees should maintain sufficient records in order to validate required financial and program reporting. Grantee will make financial reports on ACTION Form A-451, Financial Status Report, within ninety days after the end of the project period. Grantee will submit a final program report at the conclusion of the project in a format to be prescribed by the Office of Volunteer Liaison.

**Audits:** ACTION grants are subject to audit by ACTION, the General Accounting Office, other Federal audit agencies, and contract auditors. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Grantee must retain all financial records including receipts, disbursements, and vouchers for federal and nonfederal costs, for a period of three years after submission of the final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** FY 81 $368,000; FY 82 est $100,000; and FY 83 est $100,000.

**Range and Average of Financial Assistance:** $500 to $10,000 for local projects and up to $15,000 for statewide projects; average: $5,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1979, 66 Mini-Grants were awarded with an average of 84 volunteers per project at a cost of less than 60 cents per volunteer hour. In fiscal year 1980, 104 Mini-Grants were awarded at a cost of 60 cents per volunteer. In fiscal year 1981, 101 grants were awarded to organizations in 44 States resulting in some 525,500 hours of service by 17,200 volunteers at a cost of 70 cents per hour.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Mini-Grant Guidelines in revision; to become effective approximately in June 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See ACTION State office list in Appendix IV of the Catalog.

**Headquarters Office:** National Mini-Grant Program Manager, Office of Volunteer Liaison, Room M-907, ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (800) 424-8867.

**RELATED PROGRAMS:** 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Program; 72.003, Volunteers in Service to America; 72.005, National Center for Service-Learning; 72.011, State Office of Voluntary Citizen Participation; 72.013, Technical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Women: Counseling and referral services are provided to victims of spouse abuse in a five-county area. Utilizing 70 volunteers, the program is sponsoring a mass media campaign to alert the public to the scope and repercussions of domestic violence to decrease instances of family violence as well as to educate the community to alternatives to such violence. Youth: Provision of a "big brother/sister" relationship for youth with professionals from the community who involve themselves with the scholastic, vocational and personal lives of their "little brother or sister". Disability: Establishment of a community-wide volunteer corps of citizens with disabilitites to serve as a resource clearinghouse for information and peer counseling for the disabled in the community. Working closely with the RSVP, VISTA and other local volunteer programs, 20 volunteers will develop a newsletter to include information on transportation, housing, recreation, and interpretation of local ordinances and public regulations pertaining to disability matters. A manual will be developed for use in training other volunteers to participate in the program. Veterans: Creation of a volunteer group to communicate by telephone with interested companies regarding employment opportunities for Vietnam veterans. The program will be called VET-A-THON and is being replicated in several cities.

**CRITERIA FOR SELECTING PROPOSALS:** See APPLICATION AND AWARD PROCESS.

## 72.011 STATE OFFICE OF VOLUNTARY CITIZEN PARTICIPATION

## (S/OVCP)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title I, Part C, Section 122(a); Public Law 93-113; 42 U.S.C. 4993.

**OBJECTIVES:** To establish and support the coordination of volunteer services at the highest levels of State government, to stimulate citizen initiatives and support projects which resolve local human, social and environmental problems.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** ACTION's grant award for the first year will not exceed $100,000. The second year will not exceed 90 percent of the total program budget or $100,000, whichever is less. The third year will not exceed 75 percent of the total or $100,000, whichever is less. Fourth year will not exceed 60 percent of the total or $100,000, whichever is less and the fifth year will not exceed 50 percent of the total or $100,000, whichever is less. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Restricted to State Governors' offices including the District of Columbia, Puerto Rico, and territories and possessions of the United States.

**Beneficiary Eligibility:** Communities and organizations addressing human, social and environmental problems through the application of volunteer resources.

**Credentials/Documentation:** Applications for grants should be accompanied by a copy of the Governor's Executive Order and/or specific legislation establishing an Office of Voluntary Citizen Participation within the Office of the Governor. Costs will be determined in accordance with OMB Circular No. A-87 for State governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Governors' offices applying for an ACTION S/OVCP grant should initially coordinate development of a proposal by contacting the appropriate ACTION State Office listed in Appendix IV of this Catalog. The State staff is prepared to assist a sponsoring organization in developing the objectives toward which the sponsor will work and in preparing a formal proposal. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Letters of intent to submit a proposal must be submitted.

**Application Procedure:** Letters of inquiry should be sent by January 31 to the appropriate ACTION State office so that applicants may receive the S/OVCP program package containing model budget information, samples of required receipts, and other pertinent information. A Standard Form SF 424 (Application for Federal Assistance), which itemizes total program costs, including salaries and operating expenses for each period of program operation, must be prepared and submitted to the ACTION State office.

**Award Procedure:** Applications are evaluated at the State and Regional level by a Project Review Board, which determines suitability for funding. Following this review, applications will be sent to ACTION's Office of Voluntary Citizen Participation for final approval. The final selection of S/OVCP grantees will be made by the Director of ACTION's Office of Voluntary Citizen Participation. Acceptable sponsors are notified when a Notice of Grant Award is dispatched to them. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** For new offices, letters of intent must be submitted by January 31 and applications by March 31 of the year for which funds are requested. For continuation grants, applications must be submitted 115 days prior to the end of the grant period.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** No formal appeals for denial of initial grant application, but agency regulations provide for hearings on terminations, suspensions and refusals to re-fund.

**Renewals:** Grants can be renewed up to five years. Grant awards will be subject to ACTION's evaluation of grantee performance of previous year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** (See USES AND USE RESTRICTIONS). Matching contributions by the grantee in the first year are not required. In the second year, the minimum contribution by the grantee is 10 percent of the total program cost in cash and/or inkind. The minimum contribution in the third year is 25 percent. The minimum fourth year contribution is 40 percent and the minimum fifth year contribution is 50 percent of the total.

**Length and Time Phasing of Assistance:** Project grants are provided for no more than 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Active projects are monitored by ACTION Program Officers and evaluation teams; Quarterly Financial Status Report, Quarterly Federal Cash Transactions Report.

**Audits:** ACTION grants are subject to audit by ACTION, the General Accounting Office, other Federal audit agencies, and contract auditors. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Grantees must retain all financial records including receipts, disbursements, and vouchers for Federal and non-Federal costs for a period of three years after submission of Final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Grants) FY 81 $263,000; FY 82 est $473,000; and FY 83 est $473,000.

**Range and Average of Financial Assistance:** Up to $100,000; $67,000. (See USES AND USE RESTRICTIONS and Formula and Matching Requirements).

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, there were 26 S/OVCP offices. Each office coordinates existing volunteer programs within State government departments and assists with design and development of additional programs for local, private voluntary organizations within the States. Each of the S/OVCP offices conducts its own State conference. In addition, it provides recognition ceremonies for volunteers, training conferences for volunteer administrators, and general coordination of volunteer services throughout the State with special emphasis on reaching non-traditional volunteer groups. National training events are provided annually by ACTION.

**REGULATIONS, GUIDELINES, AND LITERATURE:** State office of Voluntary Citizen Participation Guidelines may be obtained from ACTION State Offices (See Appendix IV of the Catalog).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See ACTION state and regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:** National S/OVCP Program Manager, Office of Volunteer Liaison, ACTION, Suite M-907, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (800) 424-8867.

**RELATED PROGRAMS:** 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Program; 72.003, Volunteers in Service to America; 72.005, National Center for Service-Learning; 72.010, Mini-Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Offices of Voluntary Citizen Participation have been established in Arkansas, Colorado, Florida, Idaho and Illinois. The specific activities of these projects include the following: S/OVCP's mobilized, over their ACTION funding, $3 million for voluntary action. One state developed a volunteer bill of rights which was passed by the state legislature. Another gave technical assistance on recruitment and training of volunteers during a nine-week campaign to cut energy consumption in one of the towns in its state. Another operates a national runaway hotline staffed by volunteers (50/month) and which includes a national network of hundreds of volunteers nationwide.

**CRITERIA FOR SELECTING PROPOSALS:** Merit ratings are assigned to grant applications on the basis of completeness of application, OVCP Application Committee review, and on-site visits. The various categories and ranges of numerical ratings which can be assigned are as follows: (1) Evidence of need for the program and of program goals (0-10 points); (2) Program Objectives and Operations, (a) Clarity of stated objectives and relevance to program goals (0-5 points), (b) Demonstrated or potential ability to implement objectives within established time frames (0-5 points),

(c) Completeness and appropriateness of plans for day-to-day operations and commitment of proposed staff (0-5 points); (3) Program methods-adequacy and appropriateness of proposed method to conduct program activities and extent of creativity employed in program development (0-15 points); (4) Advisory committee—scope of functions and adequacy of project representation (0-10 points); (5) Funds—adequacy of nonfederal support for the total project period for which federal funds are sought, grantee contribution in first year when not required, extra grantee cash contributions in subsequent years, concreteness of plans for self-support (0-10 points); (6) Other supporting data, including—level of local support and commitment for the development or continuation of a State Office of Voluntary Citizen Participation (0-20 points). For First Year Applicants Only: Evidence of written documentation that the heads of state departments or agencies support the S/OVCP, and have designated a senior official to have primary and continuing responsibility for the participation and cooperation of that department or agency in matters concerning volunteer activities and citizen participation (0-20 points). For second through fifth year applicants only: Extent to which prior year plans were effectively implemented (0-20 points). A maximum of 100 points can be scored for a S/OVCP proposal.

## 72.012 VOLUNTEER DEMONSTRATION PROGRAM

### (Demonstration Grants)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, Title I, Part C, Section 121; Public Law 93-113, as amended; 42 U.S.C. 4991.

**OBJECTIVES:** To explore areas of human and social concern where citizens, as volunteers, can contribute toward individual self-reliance and community self-sufficiency; to develop and test program models that, if successful, may form the basis of agency initiatives or be adopted by private voluntary associations, churches, corporations, or state and local governments; to explore new areas of concern which may be addressed by the agency's on-going programs; and to develop improved systems to increase the effectiveness of existing volunteer programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** These grants support innovative projects which can be tested and possibly replicated. The basic requirements of the grants are that there must be a significant volunteer involvement in activities designed to strengthen and supplement efforts to meet a broad range of human and social needs, particularly those related to poverty. Grantees are not to use funds for religious, labor or anti-labor, or political activities in violation of the Domestic Volunteer Service Act. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local government agencies and public or private nonprofit institutions/organizations are eligible.

**Beneficiary Eligibility:** Individuals, communities, or institutions having human and social problems, particularly those related to poverty.

**Credentials/Documentation:** An organization applying for a Demonstration Grant must be a bona fide nonprofit public or private organization concerned with the human and social problems related to poverty and must be capable of administering Federal funds. The grant applicant must submit proof of nonprofit status and of financial capability. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for other private nonprofit organizations, and ACTION Handbook 2650.2.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication coordination with ACTION is not mandatory. ACTION issues standard application forms, as required by OMB Circular No. A-102 which must be used for this program, to eligible applicants.

**Application Procedure:** Applications should be submitted to the Office of Policy and Planning, ACTION, 806 Connecticut Avenue, N.W., Washington, DC 20525. This program is subject to the provisions of OMB Circular No. A-102 for State and local governments or OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:** Grants to support approved projects are made directly to the applicant organization or agency by ACTION. (Notification of the award is also sent to the respective Congressman). Notification of awards to State and local governments must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applicants may contact the Federal agency for deadline date(s).

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions.

**Renewals:** Grants are made for one-year periods and, under special circumstances, can be renewed yearly for up to three years. Subsequent grant awards will be subject to ACTION's evaluation of grantee performance of previous year and availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:** Budget period may be no longer than one year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Projects are actively monitored by program officers. Quarterly Financial Status Report, Quarterly Federal Cash Transactions Report, and Program Progress Report.

**Audits:** ACTION grants are subject to audit by ACTION, the General Accounting Office, other Federal audit agencies and contract auditors. In accordance with the provisions of Attachment P to Circular No. A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:** Grantees must retain all financial records including receipts, disbursements, and vouchers for Federal and nonfederal costs, copies of all contracts, personnel records, and job descriptions for a period of three years after submission of Final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Grants) FY 81 $1,109,000; FY 82 est $902,000; and FY 83 est $1,055,000.

**Range and Average of Financial Assistance:** $15,000 to $98,782; $42,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 26 Demonstration Grants were awarded in the areas of: drug abuse prevention, Vietnam Veterans Leadership Program, independent living, energy, rural initiatives and Small Grants. For fiscal year 1982, it is estimated that 15 Demonstration Grants will be awarded in the areas of drug abuse, runaways, illiteracy and community self-help. For fiscal year 1983, it is estimated that 19 Demonstration Grants will be awarded in the areas of drug abuse, runaways, illiteracy and community self-help.

**REGULATIONS, GUIDELINES, AND LITERATURE:** ACTION Handbook 2650.2, Policies and Procedures for Business Management of Domestic Project Grants.

**INFORMATION CONTACTS:**

**Regional or Local Office:** The headquarters office is responsible for administration of this program.

**Headquarters Office:** Jeffrey M. Hammer, Policy Development Division, Office of Policy and Planning, ACTION, 806 Connecticut Avenue, NW, Washington, DC 20525. Telephone: (202) 254-8420.

**RELATED PROGRAMS:** 72.011, State Office of Voluntary Citizen Participation.

**EXAMPLES OF FUNDED PROJECTS:** Demonstration Grants have supported: 1) peer guidance and educational models that utilize teenage volunteers who can offer accurate information on drugs and positive images to their peers; 2) voluntary activity through parent groups' involvement in educating themselves about drugs to work with the school and the community and to support one another in attempts to create a drug-free environment for their children; 3) the dissemination of technical assistance in volunteer organizations, as well as the most recent scientific and medical information regarding the harmful effects of drug abuse on children and youth; 4) technical assistance to achieve the replication of shelters in cities where concentration of runaways make that problem and associated problems especially severe; and 5) develop training for runaway shelter and group home personnel in the effective use of volunteers.

**CRITERIA FOR SELECTING PROPOSALS:** Demonstration Grants must be sponsored by State and local governments or public or private nonprofit organizations and must show: 1) promise of developing innovations or knowledge in areas of priority and of significance to national program development; 2) carefully formulated measurable time phased objectives and feasibility of methods for meeting these objectives; 3) capability of proposed staff; 4) likelihood of completion of project within proposed timetable; 5) feasibility of proposed budget, 6) potential for replication of the project model, plans for implementation and dissemination of results of projects, including any products for use by others; 7) commitment from collaborating agencies and organizations where such could be expected to contribute to the value or success of the project; and 8) adequacy of plans for data gathering and evaluation.

## 72.013 TECHNICAL ASSISTANCE PROGRAM (TAP Grants)

**FEDERAL AGENCY:** ACTION

**AUTHORIZATION:** Domestic Volunteer Service Act of 1973, as amended, Title I, Part C, Section 123; Public Law 93-113; 42 U.S.C. 4993.

**OBJECTIVES:** To help small voluntary and nonprofit organizations respond to the training, technical assistance and management needs of volunteers and organizations undertaking voluntary efforts; to facilitate and improve the human services that these organizations provide to their local communities through the use of volunteers; and to develop and exchange materials and information related to volunteering.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Restricted to State and local governments, public agencies or private nonprofit organizations, and institutions of higher education.

**Beneficiary Eligibility:** Communities or organizations utilizing volunteers to help eliminate human, social and environmental problems, particularly those related to poverty.

**Credentials/Documentation:** An agency applying for a TAP Grant must be a bona fide public agency or private nonprofit organization concerned with the human, social, and environmental problems related to poverty. The grant applicant must submit proof of nonprofit status or of its official position as a public agency. Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations, OMB Circular No. A-87 for State and local governments or OMB Circular No. A-21 for institutions of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Sponsors applying for TAP Grants should initially coordinate development of a proposal by contacting the appropriate ACTION State Program Director listed in Appendix IV of this Catalog. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Prospective sponsors apply through the ACTION State Offices. The program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations or OMB Circular No. A-102 for State and local governments.

**Award Procedure:** TAP grants are awarded either through ACTION's regional offices or directly from the TAP office in Washington, DC. Regional applications originate in State offices where they are sent to the regional office for review. Favorable applications are then forwarded to the TAP office, along with any comments and suggestions. Recommended applications are further reviewed to determine suitability for funding, based upon agency priorities and program budget. Acceptable sponsors are notified when a Notice of Grant Award is dispatched to them. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None, but plans call for all grants to be awarded by the summer of 1982.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** No formal appeals for denial of initial grant application, but agency regulations provide for hearings on terminations and suspensions.

**Renewals:** Grants are awarded for one time only, and are non-renewable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching is required, but would be regarded favorably in the review and selection process.

**Length and Time Phasing of Assistance:** Assistance is provided as delineated in Project Narrative submitted with application.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Active projects are monitored by ACTION Program Officers and evaluation teams; Quarterly Financial Status Report, Quarterly Program Status Report.

**Audits:** To be determined, but intent is to schedule audit at least once after conclusion of project. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** All financial records including receipts, disbursements, and vouchers for Federal and nonfederal costs, copies of all contract personnel records and job descriptions must be available for a period of three years after submission of the Final Financial Status Report.

**FINANCIAL INFORMATION:**

**Account Identification:** 44-0103-0-1-506.

**Obligations:** (Grants) FY 81 $75,000; FY 82 est $86,000; and FY 83 est $87,000.

**Range and Average of Financial Assistance:** $10,000 to $30,000; $19,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, 13 grants were awarded in the areas of training, technical assistance, and materials development. During fiscal year 1981, only 4 grants were awarded due to a rescission in ACTION'S budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Formal guidelines have not been published.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See ACTION Regional Office List in Appendix IV of the Catalog.

**Headquarters Office:** National Program Manager, Technical Assistance Program, Office of Volunteer Liaison, ACTION, Room M-907, 806 Connecticut Avenue, N.W., Washington, DC 20525. Telephone: (800) 424-8867.

**RELATED PROGRAMS:** 72.001, The Foster Grandparent Program; 72.002, Retired Senior Volunteer Program; 72.003, Volunteers in Service to America; 72.005, National Center for Service-Learning; 72.010, Mini-Grant Program; 72.011, State Office of Voluntary Citizen Participation.

**EXAMPLES OF FUNDED PROJECTS:** Domestic Violence: Funds facilitated the recruitment, training, and effective utilization of volunteers in a family-violence treatment program in a rural locality. Nonprofit Volunteer Management: Funds made production of a management assistance manual available to nonprofit volunteer organizations showing how to recruit corporate executives to provide no-fee assistance in accounting, personnel, marketing, planning, etc. Housing: Funds made possible a project to mobilize and train volunteers to assist families with children to find and secure decent, reasonably priced housing. Refugees: Inter-agency funds awarded through TAP assisted the resettlement of Haitian and Cuban refugees in Florida, with the voluntary help of former Peace Corps and VISTA volunteers.

**CRITERIA FOR SELECTING PROPOSALS:** Grants will be awarded based upon the following criteria: a) The proposed activity be a new or unique way of providing technical support to volunteers; b) The proposed activity will result in a final product (self-help manual, training curriculum, technical brochure, etc.) that can be reproduced by ACTION (or the grantee) and distributed to a wide variety of private voluntary organizations; c) The proposed activity sustains and/or supports on-going volunteer services; and d) The proposed activity be completed with one-year funding from ACTION. Additionally, special consideration will be given to proposals that address ACTION'S program initiatives--Vietnam veterans and problems of youth (alcohol/drug abuse, runaways, illiteracy). Proposals that are designed to stimulate corporate involvement in voluntary service will also be encouraged.

## 77.001 RADIATION CONTROL—TRAINING ASSISTANCE AND ADVISORY COUNSELING

**FEDERAL AGENCY:** NUCLEAR REGULATORY COMMISSION

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 274; Public Law 86-373; 73 Stat. 688; 42 U.S.C. 2021.

**OBJECTIVES:** To assist States in achieving, maintaining, and improving their capabilities to conduct radiation control programs. This will assure that State programs established through agreements with NRC for transfer of certain NRC regulatory authority over atomic energy materials to the States will continue to be adequate to protect health and safety and be compatible with NRC's regulatory program.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Training is provided at no cost to personnel of State and local governments in order to improve the radiological health training of staff members responsible for carrying out radiation control programs. Courses and counseling are provided in health physics and radiation protection, safety aspects of using radioactive materials, regulatory practices and procedures, and compliance inspection. States may also request reimbursement of their employees' expenses incurred in NRC approved training activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local government agencies which are or will be responsible for administering radiation control programs under an agreement with NRC for assumption by the State of regulatory authority initially exercised by the NRC.

**Beneficiary Eligibility:** Personnel nominated by State and local government agencies for specific training courses must have academic training or experience in one of the physical or life sciences equivalent to a bachelor's degree.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Verbal or written request.

**Award Procedure:** None.

**Deadlines:** To be determined.

**Range of Approval/Disapproval Time:** From one week to one month after application deadline.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 31-0200-0-1-276.

**Obligations:** (Course costs, travel and per diem expenses) FY 81 $345,000; FY 82 est $390,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 162 State personnel who participated in eight training programs in both technical and administration subjects necessary to radiation control programs. The level of program participation for fiscal year 1982 is estimated to be the same.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** John R. McGrath, State Agreements Program, Office of State Programs, Nuclear Regulatory Commission, Washington, DC 20555. Telephone: (301) 492-7767 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 81.028, Radiological Emergency Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 77.003 ENHANCE TECHNOLOGY TRANSFER AND DISSEMINATION OF NUCLEAR ENERGY PROCESS AND SAFETY INFORMATION

**FEDERAL AGENCY:** OFFICE OF NUCLEAR REGULATORY RESEARCH, NUCLEAR REGULATORY COMMISSION

**AUTHORIZATION:** Sections 31.a and 141.b of the Atomic Energy Act of 1954, as amended.

**OBJECTIVES:** To stimulate research to provide a technological base for the safety assessment of system and subsystem technologies used in nuclear power applications; to increase public understanding relating to nuclear safety; to enlarge the fund of theoretical and practical knowledge and technical information; to enhance the protection of the public health and safety.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The program includes, but is not limited to, support of professional meetings, symposia, conferences, national and international commissions, and publications for the expansion, exchange and transfer of knowledge, ideas and concepts directed toward the research necessary to provide a technology base to assess the safety of nuclear power.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants are: educational institutions, public and private nonprofit entities, State and local governments, and professional societies (specialized groups).

**Beneficiary Eligibility:** Nuclear engineers, nuclear community, and the general public.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-122 for nonprofit organizations and OMB Circular No. A-21 for institutions of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Standard Form 424 and standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 shall be used for preapplication and application.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110 for institutions of higher education, hospitals and other nonprofit organizations, and OMB Circular No. A-102 for State and local governments.

**Award Procedure:** All proposals received will be evaluated by an NRC review panel. Notification of awards will be made by the Grants Officer.

**Deadlines:** Applications will be accepted during the period February 1, 1982 to July 31, 1982.

**Range of Approval/Disapproval Time:** Two months.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** One- or two-day symposia or conferences.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A performance report is required at the end of the symposia or conference.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Records must be retained for a period of three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 31-0200-0-1-276.

**Obligations:** FY 81 $79,000; FY 82 $100,000; and FY 83 est $100,000.

**Range and Average of Financial Assistance:** Average support will be approximately $5,000 to $15,000 per project.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Kellogg Morton, Office of Administration, Division of Contracts, NRC, Washington, DC 20555. Telephone: (301) 492-4297.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Potential usefulness of the proposed project for the advancement of scientific knowledge; (2) clarity of statement of objectives, methods, and anticipated results; (3) range of issues covered by the meeting agenda; (4) qualifications and experience of project speakers; and (5) reasonableness of estimated cost in relation to anticipated results.

# COMMODITY FUTURES TRADING COMMISSION

## 78.002 COMMODITY FUTURES MARKET REPORTS

### (Weekly Stocks Of Grain in Deliverable Position; On Call Cotton Reports)

**FEDERAL AGENCY:** COMMODITY FUTURES TRADING COMMISSION

**AUTHORIZATION:** Commodity Exchange Act, as amended by the Commodity Futures Trading Commission Act, Public Law 93-463, October 23, 1974, and the Futures Trading Act of 1978, Public Law 95-405.

**OBJECTIVES:** To provide traders and members of the public information about the futures markets to assist them in understanding the markets.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Information is helpful to users and students of the futures markets. Aggregate traders' positions are made public; individual traders' positions are confidential under the statute.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Anyone is eligible to receive futures market information.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Contact the Office of Public Information of the Commodity Futures Trading Commission orally or in writing.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 95-1400-0-1-376.

**Obligations:** (Salaries and Expenses) FY 81 $107,000; FY 82 est $36,000; and FY 83 est $117,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** 1,113 reports were published in fiscal year 1981. It is estimated that 375 reports will have been published during in fiscal year 1982 and 1,300 in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 17 CFR Parts 1 through 180. Regulations under the Commodity Exchange Act.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Address Appendix of the Catalog.

**Headquarters Office:** Division of Economics and Education, Commodity Futures Trading Commission, 2033 K St., NW, Washington, DC 20581. Telephone: (202) 254-3201.

**RELATED PROGRAMS:** 78.004, Commodity Futures Reparations Claims.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** None.

## 78.004 COMMODITY FUTURES REPARATIONS CLAIMS

**FEDERAL AGENCY:** COMMODITY FUTURES TRADING COMMISSION

**AUTHORIZATION:** Commodity Exchange Act, as amended by the Commodity Futures Trading Commission Act, Public Law 93-463, October 23, 1974, and the Futures Trading Act of 1978, Public Law 95-405.

**OBJECTIVES:** To respond to customer complaints and inquiries and to provide a forum for hearing and ruling on reparations complaints against registrants regarding monetary damages resulting from violation of the Commodity Exchange Act or regulations.

**TYPES OF ASSISTANCE:** Investigation of Complaints.

**USES AND USE RESTRICTIONS:** Customer complaints are an important source of information about possible violations and assist the Commodity Futures Trading Commission in its enforcement and regulatory functions. Persons who believe they may have been cheated or defrauded in their trading transactions should advise the Commission so that it may take appropriate action. The Commission also provides a customer reparations forum where monetary awards may be directed to any person who can prove damage received as a result of violation of the Commodity Exchange Act in dealing with persons or companies registered with the Commission. Information on future trading is also available to the general public upon request.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Market users and the general public can submit customer complaints or inquiries. Reparations complaints may be received from market users stating a claim for damages as a result of violations of the Commodity Exchange Act or regulation thereunder by a person or firm registered under the Act.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Reparations complaints must be proven by the complainant and must meet requirements for filing specified by Commission regulations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Customer complaints and inquiries may be made by letter or telephone, to the Complaints Section. Reparations complaints must be written verified statements as specified by Commission regulations and must be submitted to the Washington, DC office of the Commission.

**Award Procedure:** Not applicable.

**Deadlines:** Reparations claims must have occurred after January 22, 1975, and must be filed within 2 years after the cause of action accrues.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 95-1400-0-1-376.

**Obligations:** (Salaries and Expenses) FY 81 $724,000; FY 82 est $843,000; and FY 83 est $897,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The Commission accepted 1,417 reparations complaints in fiscal year 1981, estimates accepting 1,600 reparations complaints in fiscal year 1982, and 1,700 reparations in fiscal year 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Commodity Exchange Act as amended 7 USC - Regulations under the Commodity Exchange Act (CFR Title 17, Chapter 1), Reparations Literature (no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See address appendix of the Catalog.

**Headquarters Office:** Office of the Executive Director, Complaints Section, Commodity Future Trading Commission, 2000 L St., NW, Washington DC 20581. Telephone: (202) 254-3067.

**RELATED PROGRAMS:** 78.002, Commodity Futures Market Reports.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** None.

# DEPARTMENT OF ENERGY

## 81.002 MOTION PICTURE FILM LIBRARIES

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Sections 3 and 141(b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2013 and 2161; Energy Reorganization Act of 1974, Title I, Sections 103 and 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Title I, Section 102 and Title III, Section 301, Public Law 95-91, 91 Stat. 565, 42 U.S.C. 7101; National Energy Extension Service Act, Title V, Public Law 95-39, 91 Stat. 191, 42 U.S.C. 7001.

**OBJECTIVES:** To increase public understanding of energy problems and the resource, conservation, and technology options which may be applied, through the production, acquisition, and distribution of 16mm motion pictures on a variety of energy subjects.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Films are loaned for a fee for educational, nonprofit and noncommercial screenings. Television stations may borrow films for a fee (except those marked "Not Cleared for Television") for unsponsored public service or sustaining telecasts.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Educational, civic, industrial, professional, youth, and Federal, State, and local government organizations, and television stations may borrow films from DOE film libraries.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Apply to the appropriate DOE film library. (See List of Film Libraries below.)

**Award Procedure:** None.

**Deadlines:** Loans should be requested three weeks in advance. Films should be returned within three days unless renewal arrangements have been made.

**Range of Approval/Disapproval Time:** Immediate response is usually possible.

**Appeals:** Not applicable.

**Renewals:** If there is no conflicting booking, film loans may be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Films should be returned promptly after scheduled use.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A usage report by the borrower, covering the number of screenings, the number in audience, and the condition of the film.

**Audits:** None.

**Records:** Proof of return of the print, in case of loss.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** FY 81 $165,000; FY 82 est $100,000; and FY 83 est No funds were requested.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, over 60,000 film loans were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "35 Energy Films" - 35 films on subjects related to energy and its uses.

**INFORMATION CONTACTS:**

**Regional or Local Office:** (Film Libraries) Requests for films should be sent to DOE-TIC Film Library, P.O. Box 62, Oak Ridge, TN 37830; Willie Clark, Film Librarian, can be reached at (615) 576-1285. (Some out-of-date films, of historical interest only, are available for sale (if printable) from the National Audiovisual Center, GSA, Washington, DC 20409.)

**Headquarters Office:** Jerry Ward, Audiovisual Branch, Special Programs Division, Office of Public Affairs, Washington, DC 20585. Telephone: (202) 252-4785. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.003 GRANTING OF PATENT LICENSES

### (DOE Patents Available for Licensing)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Public Law 96-517, 35 U.S.C. 208; Atomic Energy Act of 1954, as amended, Sections 156 and 161(g), Public Law 83-703; 68 Stat. 919, 42 U.S.C. 2186 and 2201; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To encourage widespread utilization of inventions covered by DOE-owned patents.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Nonexclusive, revocable licenses are granted by DOE upon application to responsible applicants with plans for development and/or marketing on approximately 3,500 DOE-owned U.S. patents. Exclusive and partially exclusive licenses may also be granted. Similar licenses on approximately 2,000 DOE-owned foreign patents may be accorded to U.S. citizens and corporations, and to others under terms and conditions which depend upon particular facts. Licenses for use or sale in the U.S. may normally be granted only to licensees who agree to manufacture in the U.S. Copies of U.S. patents may be obtained from the U.S. Patent and Trademark Office, Department of Commerce, Washington, DC 20231, at fifty cents per copy.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals, firms, or corporations, domestic and foreign, with satisfactory plans and intentions to commercialize the invention.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Satisfactory plans for development and/or marketing of the invention. In the case of corporations, the State of incorporation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By letter to the Assistant General Counsel for Patents, DOE, Washington, DC 20585, identifying the patent by its number, together with information as to (1) the nature and type of the applicant's business; (2) the purpose for which the license is desired together with documentation as to the applicant's plan for development and/or marketing of the invention to achieve that purpose; (3) the geographical areas in which the applicant will practice the invention; (4) the applicant's willingness to render periodic reports on the use of the licensed subject matter; (5) the applicant's status as a small business firm, minority business, or other; and (6) remittance of a $25 processing fee for each license requested.

**Award Procedure:** Patent licenses are issued by the Office of the Assistant General Counsel for Patents, DOE.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normally two months for nonexclusive licenses; somewhat longer for exclusive licenses.

**Appeals:** Applicants denied a license and revoked licensees have the right to appeal in accordance with 10 CFR 781 by filing notice of appeal within 30 days. Appeals board is designated upon filing of notice of appeal.

**Renewals:** Licenses may be renewed upon reapplication, contingent on satisfactory performance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports are required to be submitted as to the extent of utilization and royalties due, if applicable.

**Audits:** None. If license is royalty-bearing, DOE has the right to inspect the books of account as necessary to determine accuracy of statement.

**Records:** None except where the specific license provides for payment of royalty.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** (Salaries) FY 81 $32,000; FY 82 est $34,000; and FY 83 est $36,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, 18 nonexclusive licenses on DOE-owned U.S. patents were granted.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR 101-4-Licensing of federally-owned inventions; 10 CFR 781-DOE Patent Licensing Regulations; "U.S. Department of Energy Patents Available for Licensing" describes the program and is available from Technical Information Center. Abstracts of most DOE-owned patents are published in "Government Inventions for Licensing", a journal published by the National Technical Information Service (NTIS).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Robert J. Marchick, Office of the Assistant General Counsel for Patents, DOE, Washington, DC 20585. Telephone: (202) 252-2806.

**RELATED PROGRAMS:** 11.900, Patent and Trademark Technical Information Dissemination; 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Nonexclusive licenses - satisfactory plan for development and/or marketing of the invention. Exclusive licenses-in addition, a determination in accordance with 35 U.S.C. 209(c) that exclusivity is reasonable and necessary for commercialization.

## 81.004 UNIVERSITY-LABORATORY COOPERATIVE PROGRAM

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 31(a) and (b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051.; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To provide college and university science and engineering faculty and students with energy-related training and experience in areas of energy research at DOE facilities.

**TYPES OF ASSISTANCE:** Project Grants; Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:** Special energy training and work experience in energy research at a participating laboratory. Work must be in an area of that laboratory's ongoing research, in which area the recipient desires research experience and training. Assignments at any of a number of DOE installations can be arranged. Participants are provided a stipend and a small travel allowance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals, science, engineering, and technology faculty and students at U.S. institutions of higher education. U.S. citizenship or permanent residency status is required.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By letter or application to a participating laboratory or university association.

**Award Procedure:** A committee consisting of laboratory management and scientific staff review and select qualified candidates based upon available openings in the applicant's area of interest and funding for participant support.

**Deadlines:** Early in the calendar year, as most appointments are for the following summer.

**Range of Approval/Disapproval Time:** From 30 to 90 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching requirements.

**Length and Time Phasing of Assistance:** Varies with laboratories and academic level of applicant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As may be required by laboratories.

**Audits:** Individual beneficiaries ordinarily will not be audited.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** (Grants, salaries and expenses) FY 81 $3,500,000; FY 82 est $3,600,000; and FY 83 est $340,000.

**Range and Average of Financial Assistance:** Varies depending on academic level of applicant.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, an estimated 1,000 faculty and graduate and undergraduate students participated in the program. Another estimated 1,000 participated in workshops and conferences.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Various announcements available without cost from participating laboratories or university associations.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Director, Argonne Center for Educational Affairs, Argonne National Laboratory, 9700 S. Cass Ave., Argonne, IL 60439, Telephone: (312) 972-3324; Director, Ames Laboratory, Iowa State University, Ames, IA 50010 (for Ames), Telephone: (515) 294-2770; Executive Director, Associated Western Universities, 142 East 200 South, Salt Lake City, UT 84111, Telephone: (801) 364-5659; Assistant Director for Scientific Personnel, Brookhaven National Laboratory, Upton, NY 11973, Telephone: (516) 345-3338; Head, University Programs Office, Oak Ridge Associated Universities, P.O. Box 1171, Oak Ridge, TN 37830, Telephone: (615) 483-8411; Director, The Northwest College and University Association for Science, 100 Sprout Road, Richland, WA 99352, Telephone: (509) 946-3588.

**Headquarters Office:** Harold H. Young, University and Industry Division, Office of Energy Research, DOE, Washington, DC 20585. Telephone: (202) 252-6833.

**RELATED PROGRAMS:** 81.007, Teacher Development Projects in Energy.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria for selection include applicant's academic qualifications, objectives, and area of interest.

## 81.007 TEACHER DEVELOPMENT PROJECTS IN ENERGY

### (Summer Workshops; In-Service Workshops)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 31 (a) and (b), Public Law 83-703; 68 Stat. 919, 42 U.S.C. 2501; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Sections 102 and 203, Public Law 95-91, 42 U.S.C. 7101; Section 12(a), Public Law 93-409; Section 337, Public Law 94-163; Section 4(d), Public Law 93-557; Section 5, Public Law 93-275; National Energy Extension Service Act, Title V, Section 502(7), Public Law 95-39, 42 U.S.C. 7001.

**OBJECTIVES:** To train or to update the training of high school, junior high and elementary teachers in energy technology development, new alternatives, conservation, environmental effects, etc.

**TYPES OF ASSISTANCE:** Project Grants; Training.

**USES AND USE RESTRICTIONS:** The DOE will provide both administrative costs and stipends.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited U.S. colleges or universities and nonprofit science museums.

**Beneficiary Eligibility:** Any secondary or elementary school teacher may apply to the host institution for selection as a participant.

**Credentials/Documentation:** As prescribed by host institution.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Written proposal in accordance with guidelines available from the DOE. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Institution submits proposal signed by proper fiscal authority according to guidelines available from the Office of Energy Research, Division of University and Industry Programs. Proposals are evaluated by DOE staff and by reviewers chosen from the educational community. Awards are implemented by award letter from DOE to the institution and by a grant authorization to a DOE field office, which then negotiates the grant with the institution.

**Deadlines:** October 15, 1982 for workshops to be held the following summer or academic year.

**Range of Approval/Disapproval Time:** Four months.

**Appeals:** None.

**Renewals:** Written proposal required each year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Duration of institute, two week average; 60 percent of grant paid at beginning of the institute, 35 percent at midpoint, and 5 percent on completion of all work.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final report including evaluations by participants.

**Audits:** The administering DOE contractor is subject to periodic audits. Individuals receiving stipends ordinarily will not be audited. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Activities and Functions," and additional OMB guidance.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0228-0-1-999.

**Obligations:** (Teacher Development) FY 81 $1,700,000; FY 82 est $1,100,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $10,000 to $30,000; $20,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, an estimated 2,000 teachers attended institutes and workshops. There were 54 projects funded in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Proposal Preparation Guide"; program literature on individual workshops, short courses, or institutes is developed and distributed by host institutions. Available without cost.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Donald Duggan, Office of Energy Research, Division of University and Industry Programs, DOE, Washington, DC 20585. Telephone: (202) 252-1634.

**RELATED PROGRAMS:** 81.004, University-Laboratory Cooperative Program.

**EXAMPLES OF FUNDED PROJECTS:** Summer teacher training institutes or inservice academic year programs in energy for high school or elementary school teachers. Summer workshops average two weeks in length.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria for project selection are listed in the announcement, "Guide for the Preparation of Proposals for Faculty Development Projects in Energy Education 1983" which is available without cost.

## 81.011 UNIVERSITY REACTOR SHARING AND FUEL ASSISTANCE

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 31 (a) and (b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Regorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To support the fabrication and use of nuclear fuel for university research and training reactors in order to help ensure the continued conduct of nuclear research, development and training activities by educational institutions.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods; Project Grants.

**USES AND USE RESTRICTIONS:** Nuclear fuel is fabricated and "loaned" to eligible institutions (colleges and universities) which operate research and training reactors. Direct Department of Energy funding is restricted to payment of costs associated with utilization of the research reactor by another college or university (reactor sharing). To obtain other nuclear materials for use in educational research and training activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private and public institutions of higher education.

**Beneficiary Eligibility:** Faculty, graduate or undergraduate students.

**Credentials/Documentation:** Appropriate, valid licenses for operation of a nuclear reactor and/or receipt, possession and use of nuclear material requested, as appropriate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** No specific requirements. Informal contact with Headquarters Office is helpful.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. Submit proposal or request to Headquarters Office.

**Award Procedure:** Availability of material or funds, with review and selection by members of DOE staff.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Thirty to 180 days.

**Appeals:** None.

**Renewals:** Renewals are available; same application and award procedures.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Grants of reactor fuel for useable life. Grants of other nuclear materials for indefinite periods. Financial assistance for reactor sharing normally provided as a lump sum for a one-year period with time extensions available.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual report covering the reactor sharing activities is required. An annual report covering overall reactor operation and utilization is desired. Other reports relating to other nuclear materials provided may be required.

**Audits:** Institutions are subject to audit to verify quantities of loaned nuclear material supplied and on hand.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0224-0-1-271.

**Obligations:** FY 81 (Goods) $1,230,000, (Grants) $170,000; FY 82 est (Goods) $1,400,000, (Grants) $200,000; and FY 83 est (Goods) $1,300,000 (Grants) $300,000.

**Range and Average of Financial Assistance:** $1,200 to $40,800; $18,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were contracts with 31 universities for reactor fuel assistance and with 12 universities for support of reactor sharing through regional universities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A current program description covering reactor sharing assistance is available upon request from the Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Mr. Harold Young, Division of University and Education Programs, Office of Energy Research, DOE, Washington, DC 20585. Telephone: (202) 252-6833. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 81.022, Used Energy-Related Laboratory Equipment Grants.

**EXAMPLES OF FUNDED PROJECTS:** Procurement assistance to colleges and universities for nuclear fuel. Loans and grants of other nuclear materials (heavy water, radioisotope sources, etc.) to colleges and universities. Financial grants to reactor-owning universities for costs incurred in sharing their nuclear facilities with other educational institutions.

**CRITERIA FOR SELECTING PROPOSALS:** For reactor fuel assistance: availability of funds, capabilities and utilization of the nuclear reactor facility. For reactor sharing assistance: availability of funds, capabilities of the institutions, specifics of planned reactor sharing program, evidence of interest on part of neighboring colleges and universities.

## 81.022 USED ENERGY-RELATED LABORATORY EQUIPMENT GRANTS

### (Used Equipment Grants)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 31(a) and (b), Public Law 83-703; 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To assist U.S. institutions of higher education equip their energy and energy-related science and engineering laboratories for energy-related instructional purposes.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Used energy-related equipment is granted to nonprofit educational institutions of higher learning for use in energy-oriented educational programs in the life, physical, and environmental sciences and engineering.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Nonprofit educational institutions of higher learning, such as universities, colleges, junior colleges, hospitals, and technical institutes or museums located in the United States and interested in establishing or upgrading energy-oriented educational programs in the life, physical, and environmental sciences and engineering.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Proposal should include identification of institution and school and/or department where equipment would be used; the objectives to be met through use of the equipment; a detailed listing of the equipment requested; a brief description of energy-oriented course offerings and numbers of graduate and undergraduate students enrolled; data on qualifications of faculty members to make effective use of the equipment; reference to any prior grant for equipment (financial or otherwise) to the same or to a related department; and the name, title, and signature of the person preparing the proposal.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Representatives of eligible institutions should review lists of available equipment maintained at DOE installations throughout the United States, whose addresses are listed in "Instruction and Information on Used Energy-Related Laboratory Equipment Grants for Educational Institutions of Higher Learning."

**Application Procedure:** Written proposal to the DOE field office responsible for the site where the specific equipment is known to be located. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Award is on basis of first-received, first-qualified proposal.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** From 30 to 60 days.

**Appeals:** In writing within 15 days of decision on proposal.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** None.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** At end of first year of use, institution must report on manner in which equipment was used in establishment, expansion, or enhancement of energy and/or energy related courses.

**Audits:** On a selective basis.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** Depreciated value (book value) of donated used equipment tends to be nominal.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The number of awards made depends on the amount and type of equipment excesses during the year. In fiscal year 1980, 24 grants consisting of 143 excess items were awarded to 22 institutions of higher education.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Instruction and Information on Used Energy-Related Laboratory Equipment Grants for Educational Institutions of Higher Learning," available without cost, lists officials at approximately 25 DOE offices and installations where list of equipment available through this program may be reviewed.

**INFORMATION CONTACTS:**

**Regional or Local Office:** DOE Field Offices (See Appendix IV of the Catalog); also, local offices listed in above "Instruction."

**Headquarters Office:** Larry Barker, University and Industry Programs Division, Office of Field Operations Management, DOE, Washington, DC 20585. Telephone: (202) 252-6833.

**RELATED PROGRAMS:** 81.011, University Reactor Sharing and Fuel Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.023 INFORMATION SERVICES—EXHIBITS, PUBLIC SPEAKERS, AND PUBLICATIONS

### (Public Awareness)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Sections 3 and 141(b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2013 and 2161; Energy Reorganization Act of 1974, Title I, Sections 103 and 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Title I, Section 102 and Title III, Section 301, Public Law 95-91, 91 Stat. 565, 42 U.S.C. 7101; National Energy Extension Service Act, Title V, Public Law 95-39, 91 Stat. 191, 42 U.S.C. 7001.

**OBJECTIVES:** To disseminate general and practical information relating to the nature and scope of energy problems and actions the federal government, particularly the Department of Energy, is taking with respect to them.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** (1) Popular-level energy-related publications and posters are available in limited quantity. Printing negatives are available for bulk printing by non-DOE organizations. (2) A limited number of portable, popular-level exhibits are available for use at museums, fairs, shopping centers or at professional meetings. These deal with subjects such as development efforts in fusion and other energy technologies. (3) DOE public speakers are available to speak on a wide variety of energy topics to national, State and local organizations at no cost to the requestor.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person or organization may obtain service.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Send inquiries to the following addresses: (1) Publications: Technical Information Center, DOE, P.O. Box 62, Oak Ridge, TN 37830; (2) Exhibits: Oak Ridge Associated Universities, P.O. Box 117, Oak Ridge, TN 37830; (3) Public Speakers: Robert J. Griffin, Speakers Bureau, Office of Public Affairs, DOE, Washington, DC 20585.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Charges are made for most semi-technical publications. Booklets in limited numbers and pamphlets for general readers and students are available free. Exhibits and public speakers are made available without charge to appropriate sponsoring organizations.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** FY 81 $2,000,000; FY 82 est $43,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, more than 7 million pamphlets and booklets were distributed, 2,000 speaking invitations were received and 700 accepted. Nearly 9.5 million people viewed agency exhibit presentations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Selected DOE Publications (EDM-045) are available through the DOE Technical Information Center, Box 62, Oak Ridge, TN 37830. DOE Management Directive, "Publications Management" (1340.1). Speakers Bureau, Department of Energy (pamphlet) available from DOE Speakers Bureau, Washington, DC 20585.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Manager, Technical Information Center, DOE, P.O. Box 62, Oak Ridge, TN 37830. Telephone: (615) 576-1188.

**Headquarters Office:** Educational Literature: John Sullivan, Editorial Services Division, Office of Public Affairs, DOE, Washington, DC 20585. Telephone: (202) 252-6250. Public Speakers, Robert Griffin, Speakers Bureau, Office of Public Affairs, DOE, Washington, DC 20585. Telephone: (202) 252-5644. Exhibits, John Bradburne, Special Programs Division, Office of Public Affairs, DOE, Washington, DC 20585. Telephone: (202) 252-4760.

**RELATED PROGRAMS:** 81.002, Motion Picture Film Libraries; 81.036, Energy-Related Inventions.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.028 RADIOLOGICAL EMERGENCY ASSISTANCE

### (Interagency Radiological Assistance Program)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2011, et seq.; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To respond, on an emergency basis, with appropriate scientific and medical advice and technical assistance in incidents involving loss of control over radioactive materials, in support of efforts to protect the health and safety of the public and individuals.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Assistance is available at the time of a radiological incident to evaluate the hazardous aspects of the situation, to counsel responsible officials at the incident scene, to bring hazardous conditions under control, and to supplement the radiological emergency capabilities of other government and private organizations involved. Assistance is also available to help Federal, State, local, industrial, and other organizations to develop their own plans and capabilities for dealing with radiological emergencies. Assistance cannot be used for the purpose of protecting private property or as a substitute for personnel protection that is the responsibility of a specific agency or organization.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person or organization having knowledge of an incident believed to involve ionizing radiation or radioactive material hazardous to health and safety. Similarly, appropriate assistance is available on request to any person or organization concerned with developing plans and capabilities for dealing with radiological emergencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By telephone for radiological emergency assistance; by letter for other assistance.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Requests are evaluated when received and usually approved or disapproved immediately.

**Appeals:** Not applicable.

**Renewals:** Assistance may be extended as necessary to assure that public health and safety is protected.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** As necessary to provide appropriate response.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0224-0-1-271.

**Obligations:** Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Advice or assistance was provided in response to 129 requests for emergency radiological assistance in calendar year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Information Sheet, "The Federal Interagency Radiological Assistance Plan"; Monograph, "Interagency Radiological Assistance Plan"; available without charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Requests for radiological emergency assistance should be telephoned to the DOE Regional Coordinating Office nearest to the incident. (See Appendix IV of the Catalog for list of offices). Requests may also be telephoned to other DOE offices, military installations, U.S. Public Health Service offices, Environmental Protection Agency offices and State Health or police departments.

**Headquarters Office:** Office of Nuclear Safety (EP-34), DOE, Washington DC 20545. Telephone: (301) 353-4093, FTS 233-4093. Incident reports and requests for emergency assistance should always be made at the regional office level. Matters of a general policy or programmatic nature should be brought to the attention of the Headquarters Office.

**RELATED PROGRAMS:** 77.001, Radiation Control—Training Assistance and Advisory Counseling.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.029 URANIUM INDUSTRY SEMINARS

### (Seminars)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 141(b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2161; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To disseminate up-to-date information on domestic uranium exploration and development, economics, production capability, estimated national uranium resources and requirements, and foreign uranium resources to representatives of the uranium mining and milling industry, the nuclear industry, financial institutions, universities, and government, to assist in planning for national energy requirements.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Two-day information sessions, led by DOE staff members, are held once a year at DOE's Grand Junction Office.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any person with an interest in the uranium and nuclear industries.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Reservations for attendance should be sent to DOE, Grand Junction Office, Grand Junction, CO 81502.

**Award Procedure:** Applicants are admitted to seminars to the extent that space is available.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No grants provided. Participants pay their own travel and other expenses.

**Length and Time Phasing of Assistance:** No assistance provided during the two-day seminar period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** FY 81 $22,000; FY 82 est $25,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** The annual seminars enable attendees, representing companies, consulting firms, and universities, to acquire current information on the technology and economics of uranium geology, mining, milling, supply, and demand. Approximately 500 people attended in 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Literature - approximately 25 technical papers on uranium exploration, mining, milling, geology, and geophysics are available from Grand Junction office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Clay Nichols, Department of Energy, Grand Junction Office, P.O. Box 2567, Grand Junction, CO 81502. Telephone: (303) 242-8621.

**Headquarters Office:** John Patterson, Program Manager, Resource Assessments, Office of Uranium Enrichment and Assessment, DOE, Washington, DC 20545. Telephone: (301) 353-5173.

**RELATED PROGRAMS:** 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.036 ENERGY-RELATED INVENTIONS

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Federal Non-Nuclear Energy Research and Development Act of 1974, Section 14, Public Law 93-577, 88 Stat. 1894, 42 U.S.C. 5913; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To encourage innovation in developing non-nuclear energy technology by providing assistance to individual inventors and small business research and development companies in the development of promising energy-related inventions.

**TYPES OF ASSISTANCE:** Project Grants; Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The assistance provided includes evaluation of energy-related inventions , limited funding assistance where appropriate, advice concerning engineering, marketing, business planning. Grantee may petition for waiver of government patent rights. No equity capital is provided but interagency agreement with the Small Business Administration enhances favorable consideration of loan applications.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** No restriction. Small business, individual inventors, and entrepreneurs are especially invited to participate.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant submits energy-related invention or new technology to the National Bureau of Standards (NBS) for evaluation, using Evaluation Form NBS-1019. (The National Bureau of Standards has been designated as the Evaluation Agent for DOE, pursuant to Public Law 93-577.)

**Award Procedure:** Inventions that show promise are forwarded by the NBS to DOE to be considered for appropriate type of assistance. The DOE then contacts applicant directly to negotiate details of mutually agreeable assistance.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** The NBS evaluation time averages 4 to 6 months. The DOE subsequent evaluation and negotiations average 4 to 5 months.

**Appeals:** The NBS letter of rejection will be reconsidered upon applicant's submission of additional information supporting the data that were rejected. Perpetual motion machines will not be reconsidered.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Typically one-year, non-renewable assistance.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly Progress Report and Final Report.

**Audits:** GAO audits grants valued in excess of $10,000.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** FY 81 $5,800,000; FY 82 est $5,184,000; and FY 83 est no funds were requested.

**Range and Average of Financial Assistance:** Grant awards average $92,000.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 191 inventions have been recommended to DOE, and 122 awards of grants, contracts, and technical assistance have been made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations: Public Law 93-577, Non-Nuclear Research and Development Act of 1974; Stat. 1894; 42 U.S.C. 5913. Guidelines and Literature: "The NBS Energy-Related Invention Program" - brochure available from National Bureau of Standards, Washington, DC 20234; "Federal Assistance for Energy Inventors" - brochure available from DOE/TIC, P.O. Box 62, Oak Ridge, TN 37830.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** George Lewett, Director, NBS Office of Energy-Related Inventions, National Bureau of Standards, Washington, DC 20234. Telephone: (301) 921-3694; Randall Stevens, DOE, Small Scale Technology—Energy Related Inventions Programs (CE-24), Mail Stop 5B115; Forrestal Building, 1000 Independence Avenue, S.W., Washington, DC 20585. Telephone: (202) 252-9104.

**RELATED PROGRAMS:** 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Inventions which have been awarded grants or contracts include Hydrogen Generation by Oxidation - Reduction of Tin, Oil Well Drill Bit, Solar Collector, Anti-Pollution System, and Thermal Shade.

**CRITERIA FOR SELECTING PROPOSALS:** Each case is decided on the basis of individual merit and need.

## 81.039 NATIONAL ENERGY INFORMATION CENTER

### (NEIC)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Federal Energy Administration Act of 1974, as amended Section 20(a)(4); Public Law 93-175; 15 U.S.C. 779; Department of Energy Organization Act, Section 205 and Section 301; Public Law 95-91.

**OBJECTIVES:** To serve as the central Energy Information Administration (EIA) Office for providing energy information and assistance in support of Federal agencies, State and local governments, the academic community, industrial and commercial organizations and the general public. Also serves as central clearinghouse for review and registration of EIA information products providing editorial, publication and dissemination services.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** NEIC is a comprehensive source for statistical and analytical energy data, information and referral assistance provided through the following: (1) National Telephone Inquiry Service; (2) Public Information Reference Center; (3) Response to written energy questions; (4) Distribution of Energy Information Administration (EIA) publications and data collection forms; (5) Access to the Federal Energy Data Index, computerized bibliographic data base; (6) Dissemination of microfiche and data tapes; (7) Compilation of EIA publications directory, Energy Information Directory, Energy Data Contacts Finder and other data user reference and energy statistical publications designed for use by non-technical audiences; (8) Presentation of seminars on the content and utilization of EIA publications. Establishes policies, standards, practices, procedures and schedules for editorial services, production, printing, distribution and establishing public awareness of EIA information products. Maintains a working collection of EIA products. Maintains mailing lists for primary distribution of EIA publications.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Federal, State and local governments; academic and other nonprofit institutions; industrial and commercial organizations; and the general public.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By written, telephone, or walk-in inquiry to the headquarters office information contact shown below.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0216-0-1-276.

**Obligations:** (Salaries and expenses) FY 81 $2,102,000; FY 82 est $2,161,000; and FY 83 est $1,758,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** NEIC responded to over 60,000 inquiries for energy data and information during 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Descriptions of NEIC products and services furnished upon request.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** John E. Daniels, Acting Director, National Energy Information Center, Energy Information Administration, Department of Energy, Room 1F-048, Forrestal Building, Washington, DC 20585. Telephone: (202) 252-8800, (reference, referral and publications).

**RELATED PROGRAMS:** 11.001, Census Bureau Data Products; 11.650, National Technical Information Service; 15.800, Geologic and Mineral Resource Surveys and Mapping; 17.003, Prices and Cost of Living Data; 17.006, Economic Growth Data; 39.008, Federal Information Center; 39.009, Consumer Information Center; 40.001, Depository Libraries for Government Publications; 40.002, Government Publications—Sales and Distribution; 42.007, Reference Services in Science and Technology; 47.053, Scientific, Technological, and International Affairs; 81.023, Information Services—Exhibits, Public Speakers, and Publications.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.041 STATE ENERGY CONSERVATION

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Energy Policy and Conservation Act, Title III, Sections 361-366, Part C, Public Law 94-163, 42 U.S.C. 6321-6326; Department of Energy Organization Act, Title VI, Section 621, Public Law 95-91, 42 U.S.C. 7101; National Energy Conservation Policy Act, Public Law 95-619.

**OBJECTIVES:** To promote the conservation of energy and reduce the rate of growth of energy demand by authorizing DOE to establish procedures and guidelines for the development and implementation of specific State energy conservation programs and to provide Federal financial and technical assistance to States in support of such programs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are to be used by States in the development, implementation, or modification of a State energy conservation plan submitted to and approved by DOE. To be eligible for Federal assistance, each State energy conservation plan must contain the five program measures as required by the Energy Policy and Conservation Act; Public Law 94-163. The plan must also contain a proposed State energy conservation goal, consisting of a reduction, as a result of the implementation of the State energy conservation plan, of 5 percent or more in the total amount of energy consumed in the State for the year 1980 from projected energy consumption in the State for that year.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All states plus the District of Columbia, the Virgin Islands, Puerto Rico, Trust Territories of the Pacific, American Samoa, Guam and Northern Mariana Islands are eligible.

**Beneficiary Eligibility:** The ultimate potential beneficiaries will be the people affected by the plan each State develops. This is anticipated to be the State's population.

**Credentials/Documentation:** States are required to submit a grant application and state plan to DOE by the last day of the calendar year. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms required by OMB Circular No. A-102 as revised to meet the needs of this program and approved by OMB, must be used for this program. Administrative requirements will be determined in accordance with OMB Circular No. A-102. There are no other requirements for coordination with governmental or nongovernmental units prior to the formal submission to DOE. No preapplication form is required by DOE. No informal preapplication conference is needed or recommended. Consultation and assistance will be available from DOE in the preparation of the application.

**Application Procedure:** By May 20, 1976 the States were to submit a feasibility report using FEA Form U518-S-O or to request an extension. By September 15, 1976 the States were to submit the "Application Form for Financial Assistance to States for Development of a State Energy Conservation Plan," FEA Form U516-S-O. By March 28, 1977, the State Energy Conservation Plan Reports and applications (U-516-S-1) for 1977 funding were due from each participating State. By December 31, 1977, each participating State was to submit a modified State energy conservation plan and application for (DOE Form CS-1) fiscal year 1978 funding. By April 30, 1979, each participating State was to submit a modified State energy conservation plan and application form (DOE Form CS-1) for fiscal year 1979 funding. By March 31,1980, each participating State was to submit a modified State Energy Conservation Plan and application form (DOE Form CS-1) for fiscal year 1980 funding; by December 31, 1980, for fiscal year 1981 funding; and by February 28, 1982, for fiscal year 1982 funding. All forms are to be submitted to the appropriate DOE field office for approval.

**Award Procedure:** Planning: outline of proposed plans according to the Act and guidelines. Implementation: submit complete plan in accordance with guidelines. Grant procedures will be accomplished in accordance with Federal Government regulations. Notification of awards will be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State Energy Conservation Plan Reports were due by March 28, 1977. Modifications to the State Energy Conservation plans were to be submitted by December 31, 1977 for fiscal year 1978, by April 30, 1979 for fiscal year 1979, by March 31, 1980 for fiscal year 1980, by January 31, 1981 for fiscal year 1981, and by February 28, 1982 for fiscal year 1982.

**Range of Approval/Disapproval Time:** The approval of State energy conservation plans and forms for implementation assistance will require approximately 45 calendar days.

**Appeals:** In the event the appropriate field official determines that a proposed State energy conservation plan does not meet the requirements of the Energy Policy and Conservation Act and the State Energy Conservation Plan Guidelines issued October 28, 1976, a letter of intent to disapprove must be sent to grantee. If the grantee wishes to appeal the decision, it must submit a request for a review panel with all supporting data and documentation to the appropriate DOE field official within six days after receipt of this notice. Upon receipt of the request, DOE establishes a review panel within six days consisting of one person from an alternate State government, one person from another Federal agency, and a third person to be selected by the appropriate field official. Within two working days after the panel has reviewed the plan and background material, a recommendation for approval or disapproval will be sent to the appropriate field official. A decision to the State will be written within one working day.

**Renewals:** The State Energy Conservation Program as established by the Energy Policy and Conservation Act is authorized $50 million for each of fiscal years 1976, 1977 and 1978. The National Energy Conservation Policy Act authorized $50 million for fiscal 1979; authorization under the DOE appropriation bill for fiscal year 1980 was $37,800,000, for fiscal year 1981 was $37,800,000, and for fiscal year 1982 was $24,000,000.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 1. Grant funds were made available to assist the States in the implementation of approved State energy conservation plans in accordance with the following formula for calendar year 1977: (i) 75 percent of available funds were divided on the basis of the resident population of the participating States as of July 1, 1973, as reported by the Department of Commerce, Bureau of the Census, in "Current Population Reports;" Series P-25, Numbers 520 and 603; and (ii) 25 percent of available funds were divided among the participating States equally; and 2. Grant funds may be made available to the States for modification of their State energy conservation plan in accordance with the following formula for calendar year 1980: (i) 40 percent of available funds will be divided on the basis of the resident population of the participating States as of July 1, 1976, as reported by the Department of Commerce, Bureau of the Census, in "Current Population Reports," Series P-25, Numbers 727 and 731; (for 1979, 1980 and 1981, the basis was the resident population of the participating State as of July, 1976, as reported by the Department of Commerce, Bureau of the Census, in the most recent publication of "Current Population Reports."); (ii) 25 percent of available funds will be divided among the participating States equally; and (iii) 35 percent of available funds will be divided on the basis of the energy savings in calendar year 1980 resulting from the implementation of State energy conservation plans (the source is the administrative records); provided however that no State shall receive more than 20 percent of the available funds provided on the basis of estimated energy savings. No matching financial assistance is required.

**Length and Time Phasing of Assistance:** Authorized funding was established by EPCA for fiscal years 1976, 1977 and 1978 and by NECPA for fiscal year 1979. However, the time phase for energy saving requirements extends beyond 1980. Fiscal year 1976 funding was granted for the development of State Energy Conservation Plans. Fiscal years 1977, 1978, 1979, 1980, 1981, and 1982 funding was granted for implementation and modification of the plans respectively.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly reports: Required on activities initiated and completed and significant problems encountered or anticipated. The States are required to submit two financial reports to the regions. Financial Status Report: States should submit an original and two copies 30 days after each quarter and 90 days after completion of the project. Status of funds report: To be submitted whenever the grantee draws funds from the Treasury Disbursing Office. States are also required to submit a program report quarterly for monitoring purposes. This provides information regarding the progress of major milestones and activities.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** In accordance with OMB Circular No. A-102 and OMB Circular No. A-73.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** (Grants) FY 81 $37,000,000; FY 82 est $24,000,000. (This program is being proposed for elimination in FY 83.)

**Range and Average of Financial Assistance:** The range of fiscal year 1982 financial assistance available to each State for the implementation of the program is $106,000 to $1,500,000; average is $421,000.

**PROGRAM ACCOMPLISHMENTS:** Fifty-five States participated in the development of their State energy conservation plans; 55 States received fiscal year 1977 and 1978 implementation funds; and 56 States received fiscal year 1979 funds. Fifty-seven States applied for fiscal years 1980, 1981 and 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** State Energy Conservation Plan Guidelines, 10 CFR 420, Chapter 2, published November 3, 1976 and Sourcebook. The SECP guidelines were published in the Federal Register on April 4, 1979 (44 FR 20055-20063).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for regional offices.

**Headquarters Office:** Mary Fowler, Office of Energy Management and Extension, Conservation and Renewable Energy, Department of Energy, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC 20585. Telephone: (202) 252-2344.

**RELATED PROGRAMS:** 81.023, Information Services—Exhibits, Public Speakers, and Publications; 81.036, Energy-Related Inventions; 81.043, Supplemental State Energy Conservation; 81.050, Energy Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See USES AND USE RESTRICTIONS.

## 81.042 WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Energy Conservation and Production Act, Title IV, Part A, Public Law 94-385, 42 U.S.C. 6861-6870; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101; National Energy Conservation Policy Act, Title II, Part 2, Public Law 95-619, 92 Stat. 3206; Energy Security Act, Title V, Subtitle E, Public Law 96-294.

**OBJECTIVES:** To insulate the dwellings of low-income persons, particularly the elderly and handicapped low-income, in order to conserve needed energy and to aid those persons least able to afford higher utility costs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Improvement of the thermal efficiency of dwellings by the installation of weatherization materials such as attic insulation, caulking, weatherstripping and storm windows, and furnace efficiency modifications. An amount determined by the grantee and approved by the DOE Regional Representative, may be used for such program support costs as tools and equipment, transportation of tools, materials and workers to the job site, and on-site supervisory personnel. Up to 10 percent of each grant may be spent for administrative expenses (a state may not use more than 5 percent of the total state grant for such purposes).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, including the District of Columbia, and in certain instances, Native American tribal organizations. In the event a State does not apply, a unit of general purpose local government, or Community Action Agency within that State becomes eligible to apply.

**Beneficiary Eligibility:** All low-income households will be eligible to receive weatherization assistance. A low-income household is one whose combined income falls at or below 125 percent of the poverty level determined by the Office of Management and Budget, or the basis on which Federal, State or local cash assistance payments have been made.

**Credentials/Documentation:** DOE requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Guidelines available from DOE Operations Offices. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms required by OMB Circular No. A-102 as revised to meet the needs of this program and approved by OMB, must be used. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). Administrative procedures will be determined in accordance with OMB Circular No. A-102 and with the Weatherization Program Guidelines (available from DOE Operations Offices). After notice and a public hearing, a State must adopt a final plan describing the proposed funding distribution and recipients. A copy of the final State plan must accompany the grant application. No preapplication form is required by the DOE. Consultation and assistance will be available from DOE in the preparation of the application.

**Application Procedure:** Grant applications submitted to the DOE Operations Office serving the applicant State.

**Award Procedure:** Grant applications will be reviewed by DOE Operations Office staff. Grant procedures will be accomplished in accordance with Federal Government regulations. Notification of grant awards will be made by the DOE Operations Office Manager serving the applicant State. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State applications must be received within 90 days from the date the State receives notification of eligibility to apply for funding.

**Range of Approval/Disapproval Time:** Approximately 30 days.

**Appeals:** If an application is disapproved, the Operations Office Manager shall issue a written notice which will be sent to the applicant by registered mail. A public hearing will be held no later than 15 days after receipt of such notice. The Operations Office Manager will issue a final determination not later than 5 working days after the public hearing. In the event of an adverse final determination by the Operations Office Manager, the applicant may file a written appeal to the Secretary not later than 10 working days after receipt of the Operations Office Manager's determination. The Secretary will have 21 working days to consider the appeal and if no action is taken the decision of the Operations Office Manager will stand.

**Renewals:** Financial assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation are: 1. heating degree days and the source is "State Level Heating and Cooling Degree Days", over a 30 year period (1940 to 1970), NOAA; 2. cooling degree days and the source is "State Level Heating and Cooling Degree Days" over a 30 year period (1940 to 1970), NOAA; 3. the number of low-income owner occupied dwelling units and the source is "Survey of Income and Education", 1975, from the Bureau of the Census; 4. number of low income renter occupied dwelling units and the source is the "Survey of Income and Education", 1975, Bureau of the Census; 5. the percentage of total residential heating used for space heating and the source is "Project Independence Blueprint: Final Task Force Report" (Federal Energy Administration); and 6. the percentage of total residential energy used for space cooling and the source is "Project Independence Blueprint: Final Task Force Report" (Federal Energy Administration). The statistical factor used for eligibility is the dwelling units occupied by families with incomes at or below 125 percent of the "OMB Poverty Guidelines".

**Length and Time Phasing of Assistance:** Authorized funding is established by ECPA, NECPA, and ESA for fiscal years 1977 through 1982.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Monthly program and quarterly financial reports.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** In accordance with OMB Circular No. A-102 and OMB Circular No. A-73.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0215-0-1-999.

**Obligations:** (Grants) FY 81 $175,000,000; FY 82 est $144,000,000; (This program has been proposed for elimination in FY 83.)

**Range and Average of Financial Assistance:** $108,703 to $15,031,644; (FY 81) $3,400,000; (FY 82) $2,800,000.

**PROGRAM ACCOMPLISHMENTS:** As of December 31, 1981, over 801,000 homes had been weatherized with DOE funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Weatherization Assistance guidelines published June 1, 1977. Amendments to guidelines published January 2, 1979, August 29, 1979, February 27, 1980, June 1, 1981 and March 1, 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Region I: Richard Michard, Telephone: (617) 223-5287. Region II: Bill Woods, Room 3200, Telephone: (212) 264-1021. Region III: Rollie Clifton. Telephone: (215) 597-3890. Region IV: Fred Singleton, Telephone: (404) 881-2090. Region V: Eloise Woods, Telephone: (312) 972-2049. Region VI: Chuck Royston or John Harper, Telephone: (214) 767-7777. Region VII: Cheric Sackenger, Telephone: (816) 374-2815. Region VIII: Al Hymer, Telephone: (303) 234-2165. Region IX: Fred King, Telephone: (415) 273-4461. Region X: Tom Haller, Telephone: (509) 376-7947. See Appendix IV for Operations Office addresses.

**Headquarters Office:** Joseph P. Flynn, Jr., Office of Weatherization Assistance Programs, CE-25, Conservation and Renewable Energy, Department of Energy, Forrestal Building, Washington, DC 20585. Telephone: 252-2204.

**RELATED PROGRAMS:** 81.041, State Energy Conservation; 81.043, Supplemental State Energy Conservation.

**EXAMPLES OF FUNDED PROJECTS:** State funded local action agencies install energy conservation measures in the homes of low-income persons.

**CRITERIA FOR SELECTING PROPOSALS:** See Credentials/Documentation.

## 81.043 SUPPLEMENTAL STATE ENERGY CONSERVATION

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Energy Conservation and Production Act of 1976, Title IV, Section 432(a), Part B, Public Law 94-385, 42 U.S.C. 26413-26422; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101; National Energy Conservation Policy Act, Title VI, Section 622, Public Law 95-619.

**OBJECTIVES:** To further promote the conservation of energy and reduce the rate of growth of energy demand by authorizing DOE to establish procedures and guidelines for the development and implementation of supplemental State energy conservation plans and to provide Federal financial and technical assistance to the States in support of such programs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are to be used by States in the development and implementation or modification of a supplemental State energy conservation plan submitted to and approved by DOE. To be eligible for Federal assistance, each supplemental State energy conservation plan must contain the three program measures as required by the Energy Conservation and Production Act, Public Law 94-385.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All States are eligible plus the District of Columbia, the Virgin Islands, Puerto Rico, Trust Territory of the Pacific, American Samoa, Guam and Northern Mariana Islands.

**Beneficiary Eligibility:** The ultimate potential beneficiaries will be the people affected by the supplemental State energy conservation plan the State develops and implements. This is anticipated to be the State's population.

**Credentials/Documentation:** States are required to submit a grant application and state plan to DOE by the last day of the calendar year. Governors (or their designated Plan review agencies) must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms required by OMB Circular No. A-102 as revised to meet the needs of this program and approved by OMB, must be used for this program. Administrative requirements will be determined in accordance with OMB Circular No. A-102. An environmental impact assessment is required for this program. There are no other requirements for coordination with governmental or nongovernmental units prior to the formal submission to DOE. No preapplication form is required by DOE. No informal preapplication is required by DOE. No informal preapplication conference is needed or recommended. Consultation and assistance will be available from DOE in the preparation of the application.

**Application Procedure:** By July 25, 1977, the States were to submit the Supplemental State Energy Conservation Plan Report, FEA U-516-S-1 for fiscal year 1977 funding. By March 31, 1978, each participating State was to submit a modified Supplemental State Energy Conservation Plan (DOE Form CS-1) for fiscal year 1978 funding. All forms and applications are to be submitted to the DOE field offices. By December 31,1978, each participating State was to submit a modified Supplemental State Energy Conservation Plan for fiscal year 1979 funding. The submittal deadline was December 31, 1979 for fiscal year 1980; and December 31, 1980 for fiscal year 1981.

**Award Procedure:** States will submit a completed supplemental plan in accordance with the guidelines. Grant procedures will be accomplished in accordance with Federal Government regulations. Notification of awards will be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Supplemental State Energy Conservation Plan Reports were due July 25, 1977. The 1978 modifications to the Supplemental State Energy Conservation Plans were due March 31, 1978; 1979 modifications were due December 31, 1978; 1980 modifications were due March 31, 1980; and 1981 modifications were due January 31, 1981.

**Range of Approval/Disapproval Time:** The approval of supplemental State energy conservation plans and application for Federal financial assistance will require approximately 45 calendar days.

**Appeals:** In the event the appropriate field official determines that a proposed supplemental State energy conservation plan does not meet the requirements of the Energy Conservation and Production Act and the Supplemental State Energy Conservation Plan Guidelines published May 24, 1977, a letter of intent to disapprove must be sent to grantees. If the grantee wishes to appeal the decision, it must submit a request for a review panel with all supporting data and documentation to the appropriate DOE field official within six days after receipt of this notice. Upon receipt of the request, DOE establishes a review panel within six days consisting of one person from an alternate State government, one person from another Federal agency, and a third person to be selected by the appropriate field official. Within two working days after the panel has reviewed the plan and background material, a recommendation for approval or disapproval will be sent to the appropriate field official. He shall issue a written decision to the State within one working day.

**Renewals:** The Supplemental State Energy Conservation Program as established by the Energy Conservation and Production Act is authorized $25 million for fiscal year 1977, and $40 million for fiscal years 1978 and 1979. NECPA increased the authorized level in fiscal year 1979 from $40 million to $50 million. The authorized level under the DOE appropriations bill was $10,000,000 in fiscal year 1980 and $10,000,000 in fiscal year 1981.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grant funds are available to assist the States in the implementation of approved supplemental State energy conservation plans in accordance with the following formula for calendar years 1977, 1978, 1979, 1980 and 1981: (1) 75 percent of available funds will be divided on the basis of the resident population of the participating States as of July 1, 1976 as reported by the Department of Commerce, Bureau of the Census, in their most recent publication of "Current Population Reports"; (2) 25 percent of available funds will be divided among the participating States equally.

**Length and Time Phasing of Assistance:** Authorized funding is established by ECPA for fiscal years 1977, 1978, 1979, 1980 and 1981, and was granted for the development, implementation, and modification of Supplemental State Energy Conservation Plans.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Required on activities initiated and completed, and significant problems encountered or anticipated. The States are required to submit two financial reports to the regions. Financial Status Report: States should submit an original and two copies 30 days after each quarter and 90 days after completion of the project. Status of Funds Report: To be submitted whenever grantee draws funds from the Treasury Disbursing Office. The States are also required to submit a program report quarterly for monitoring purposes. This provides information regarding the progress of major milestones and activities.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** In accordance with OMB Circular No. A-102 and OMB Circular No. A-73.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** (Grants) FY 81 $10,000,000; FY 82 Not funded. (This program will not be funded in FY 83.)

**Range and Average of Financial Assistance:** The range of fiscal year 1981 financial assistance available to each State for the implementation of the program was $41,300 to $729,400; average was $385,350.

**PROGRAM ACCOMPLISHMENTS:** Fifty-five "States" submitted proposed Supplemental State Energy Conservation Plans and all were approved by December 31, 1977. Fifty-five "States" applied for fiscal year 1978 funds and all were approved by September 1, 1978. Fifty-six participating "States" applied for fiscal year 1979 funding. Fifty-seven "States" applied for fiscal year 1980 and 1981 funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Supplemental State Energy Conservation Plan Guidelines, 10 CFR 420, Subpart E. The SSECP revised guidelines were published in the Federal Register on April 4, 1979 (44 CFR 20055-20063).

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for regional offices.

**Headquarters Office:** Mary F. Fowler, Office of Energy Management and Extension, Conservation and Renewable Energy, Department of Energy, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC 20585. Telephone: (202) 252-2344.

**RELATED PROGRAMS:** 81.023, Information Services—Exhibits, Public Speakers, and Publications; 81.036, Energy-Related Inventions; 81.041, State Energy Conservation; 81.050, Energy Extension Service.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** See Credentials/Documentation.

## 81.048 PRIORITIES AND ALLOCATIONS FOR ENERGY PROGRAMS AND PROJECTS

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Energy Policy and Conservation Act (EPCA), Section 104, Public Law 94-163; Defense Production Act (DPA) of 1950, as amended, Section 101(c), 50 U.S.C. 2071(c); Executive Order 11912, April 13, 1976; Defense Mobilization Order No. 13, September 22, 1976, 41 FR 43720; Department of Commerce, Bureau of Domestic Commerce, Delegation 4, 41 FR 52331; DOE Regulations 10 CFR 216; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** Provides priority support for qualifying energy programs and projects which are intended to maximize domestic energy supplies. Potential candidates are energy programs related to the exploration, production, refining, transportation, conservation of energy supplies or the construction and maintenance of energy facilities that are experiencing delays due to shortages of critical and essential industrial materials or products. Under this program, the Defense Production Act of 1950, as amended, may be cited as authority to require that qualifying programs take precedence over contracts or orders which do not contain an authorized priority rating.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Training.

**USES AND USE RESTRICTIONS:** Program entitles applicant to rate orders requiring preferential treatment in filling contracts and/or orders for specific supplies of material or equipment. Applicant must fulfill certain criteria in making a determination of whether the energy program or project maximizes domestic energy supplies, and whether the specific materials or equipment are critical and essential.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Corporations, individuals and government agencies.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** 1) Description of energy project involved; 2) Amount of energy to be produced; 3) Why materials are critical and essential; 4) Detailed description of material and equipment; 5) Description of sources of supply; 6) Description of delivery situation; 7) Evidence of applicants unsuccessful efforts to procure these supplies; 8) How much delay; 9) Any known conflicts with other rated orders. (See 10 CFR 216.3.)

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** DOE application form PR-437.

**Application Procedure:** Members of program office in DOE Headquarters are available for assistance in completing the form. This form should be filed with Department of Energy, Procurement and Assistance Management Property and Equipment Management Division, MA-932.1, Washington, DC 20585.

**Award Procedure:** If the criteria spelled out previously can be met (as determined by DOE), the application is sent to Department of Commerce, Office of Industrial Resource Administration (OIRA) for findings of scarcity of supplies and need to use the priorities system. If these findings are made, OIRA authorizes DOE to authorize the applicant to rate the order.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** If an application is disapproved, the applicant may petition DOE for reconsideration at the address under Application Procedure. DOE will consider the petition and either grant or deny the relief requested. Written notice of the decision and reasons will be provided to the applicant.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Until the relief has been granted or DOE determines that the findings are no longer valid.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** All records required (see below) shall be made available for inspection and audit by duly authorized representatives of DOE at the usual place of business of the person involved.

**Records:** Applicants must keep all records of rated orders for at least 3 years. These must be detailed enough so that a determination may be made concerning the contractor's compliance with all applicable rules and regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0201-0-1-270.

**Obligations:** (Salaries and expenses) FY 81 $50,000; FY 82 est $50,000; and FY 83 est $50,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** DOE has had 50 requests for priorities assistance of which 20 have been approved by DOE and the Department of Commerce (DOC).

**REGULATIONS, GUIDELINES, AND LITERATURE:** DOE regulations 10 CFR 216; DOC regulations 15 CFR 330-354; DOE publication (DOE/PR-0042); "Priorities and Allocations Support for Energy: Keeping Energy Programs on Schedule".

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Gilbert J. Breer, Procurement and Assistance Management Directorate, MA 932.1, DOE, Washington, DC 20585. Telephone: (202) 252-4920.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Persons who believe that they perform work associated with a program or project which maximizes domestic energy supplies may apply for priorities and allocation authority. Criteria used in making this determination include: 1) quantity of energy involved; 2) benefits of timely energy program furtherance or project completion; 3) socioeconomic impact; 4) the need for the end product for which the materials and equipment are allegedly required; and 5) established national energy policies. Also, the person must show that the specific supplies of materials or equipment are critical and essential to the timely completion of the energy program or project.

## 81.049 BASIC ENERGY SCIENCES, HIGH ENERGY/NUCLEAR PHYSICS, FUSION ENERGY, HEALTH AND ENVIRONMENTAL RESEARCH, PROGRAM ANALYSIS AND FIELD OPERATIONS MANAGEMENT

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Non-Nuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To provide financial support for fundamental research in the basic sciences and advanced technology concepts and assessments in fields related to energy.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, and services required for conducting the research, advanced technology project or assessment. Restrictions on use of funds depend on contract provisions. Support is provided for work in such fields as high energy physics, nuclear science, basic materials science, basic chemical science, biological and environmental research, nuclear medicine, technology assessments, and magnetic fusion and for the purpose of exploring an idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, industry (particularly small and disadvantaged businesses) and nonprofit institutions.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Informal communication addressed to the appropriate headquarters office listed below is desirable before preparing a detailed formal proposal.

**Application Procedure:** Detailed formal proposal by a scientist or principal investigator interested in doing the work, submitted through an appropriate administrative official of the institution. No forms are provided but proposal should follow instructions in the appropriate "Guide" listed in the program literature below. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Decisions to approve are by the headquarters program director. DOE field offices are then instructed to negotiate and prepare an appropriate support agreement making the award.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normally, six months.

**Appeals:** None.

**Renewals:** Proposals for renewal are subject to review and acceptance by the headquarters office.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing may be appropriate as set forth in DOE Assistance Regulations Section 600.107, cost sharing and matching share.

**Length and Time Phasing of Assistance:** The schedule of DOE payments is arranged at the time of contract negotiation.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The schedule of reports is arranged at the time of the negotiation.

**Audits:** Costs incurred are subject to audit throughout the contract or grant period and before final payment, with the extent and frequency of audit depending on the size of the contract and on the particular contract provisions. Where the contracts are with educational institutions, FMC 73-6 identifies the cognizant audit agency. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** Contractor is expected to maintain auditable records to substantiate the total costs incurred under the agreement or contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0224-0-1-271; 89-0222-0-1-251; 89-0225-0-1-271; 89-0223-0-1-251.

**Obligations:** (Grants and contracts) FY 81 $233,000; FY 82 est $250,000; and FY 83 est $271,000.

**Range and Average of Financial Assistance:** $10,000 to $2,000,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** Results and accomplishments of basic research performed under these programs are reported in the Open Scientific Literature. The university research in the basic sciences have helped to train the future scientific talent in materials, science, chemistry, mathematics, general life sciences, geosciences, and high energy and nuclear physics. Nobel prizes have been awarded to program participants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Guide for the Submission of Unsolicited Proposals"; "The DOE Program Guide for Universities and Other Research Groups"; "Doing Business with the Department of Energy"; "Projects in the Physical Sciences".

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** William Burrier, Director, Division of Acquisition Management, Office of Energy Research, DOE, Mail Stop G-256, Washington, DC 20545. Telephone: (301) 353-4946; FTS 233-4946.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** See PROGRAM ACCOMPLISHMENTS.

**CRITERIA FOR SELECTING PROPOSALS:** Scientific merit of the proposal, relevance to basic or energy research, possible contribution to knowledge, background and experience of the principal investigator, facilities and environment in which the proposed work will be conducted.

## 81.050 ENERGY EXTENSION SERVICE

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** National Energy Extension Service Act; Title V, Public Law 95-39; Department of Energy Organization Act, 42 U.S.C. 7101; Public Law 95-91.

**OBJECTIVES:** To encourage individuals and small establishments to reduce energy consumption and convert to alternative energy sources. To assist in building a credible, nonduplicative, State-planned and operated energy outreach program responsive to local needs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funding will not supplant or duplicate funding from other sources (Federal, State, local or private); funds cannot be used for the purchase of land or interest therein, construction of buildings or structures, research and development or equipment for research and development or demonstrations for feasibility of technology, equipment or library materials that would exceed 20 percent of total funds. States may not spend more than 10 percent of their funds for evaluation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For fiscal year 1982, grants have been awarded to all 50 States, Guam, the Virgin Islands, American Samoa, Puerto Rico, the District of Columbia, the Trust Territories of the Pacific and the Commonwealth of the Northern Marianas (hereinafter referred to as "States").

**Beneficiary Eligibility:** Small-scale energy users (including homeowners, renters, small businesses, local government, and other small public and private establishments), and groups which influence their energy consumption (including architects, bankers and builders).

**Credentials/Documentation:** Only one application from each State; compliance with State and local environmental statutes and regulations; use restrictions as above. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part 3, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** States submit proposals in response to program regulations issued October 2, 1978, containing the State plan. Plans are submitted to the appropriate DOE field office.

**Award Procedure:** Grants will be awarded incorporating State proposals. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** The first annual State plans must be submitted within 180 days of invitation by the Regional representative for States to participate in the first year of the nationwide program. Subsequent annual state applications shall be submitted to the appropriate field office on or before September 30 of the following years.

**Range of Approval/Disapproval Time:** To be designated in the program regulations.

**Appeals:** Designated in the program regulations issued October 2, 1978.

**Renewals:** Continuing grants subject to Congressional appropriation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grant formula for nationwide program is 50 percent of funds to be divided equally among the States, and 50 percent apportioned by population. Twenty percent State cost sharing will be required in fiscal year 1982.

**Length and Time Phasing of Assistance:** Funds awarded annually subject to Congressional appropriation, with no restriction on spending period. Funds released through Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Standard OMB Circulars No. A-102 and No. A-87 reporting and auditing requirements. (See program regulations.)

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** See program regulations.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0203-0-1-270.

**Obligations:** (Grants) FY 81 $20,000,000; FY 82 est $9,600,000. (This program is being proposed for elimination in FY 83. However, Congressional action, which includes funds, is not yet completed.)

**Range and Average of Financial Assistance:** (FY 82) $100,000 to $700,000; $200,000.

**PROGRAM ACCOMPLISHMENTS:** The pilot program has been completed and evaluated. A comprehensive plan for Federal energy outreach has been completed. A Federal technical assistance network has been developed. All States have submitted plans for the National Energy Extension Service. All fifty-seven plans have been approved as of September 30, 1980, and grants have been awarded for fiscal year 1981 and are being processed for fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Regulations issued on September 28, 1978.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV.

**Headquarters Office:** Jerry D. Duane, Chief, State Programs Branch, Department of Energy (CE-24), Forrestal Building, 1000 Independence Avenue, SW., Washington, DC 20585. Telephone: (202) 252-2344.

**RELATED PROGRAMS:** 81.041, State Energy Conservation; 81.043, Supplemental State Energy Conservation.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.051 APPROPRIATE ENERGY TECHNOLOGY

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Energy Research and Development Administration Appropriation Authorization of 1977, Section 102, Public Law 95-39.

**OBJECTIVES:** To encourage research and development of energy related small scale technologies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Through fiscal year 1981, the Appropriate Energy Technology Program provided funds for a wide range of projects that fall into one of three categories: Concept Development: Awards of up to $10,000 were made for the development of an idea, concept, or investigative finding in areas ranging from new concepts of energy sources to the new application of existing procedures or systems. Development: Awards of up to $50,000 were made for the systematic and practical development of a concept into a useful technology. This category included design, assembly, and laboratory-scale testing to determine the technical feasibility and application of a concept. Demonstration: Awards of up to $50,000 were made to test a technology under operating conditions to show that its commercial application was technically, economically, and environmentally feasible. In fiscal year 1981, program activities will be limited to monitoring and information dissemination related to projects funded through fiscal year 1981 only. No new projects will be funded in fiscal year 1982.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Not applicable.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress report required midway and at completion of project.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Normally accepted accounting and recordkeeping is requested.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0215-0-1-272.

**Obligations:** (Grants) FY 81 $12,000,000; FY 82 est $2,880,000; and FY 83 est No funds were requested.

**Range and Average of Financial Assistance:** $350 to $50,000; $13,000.

**PROGRAM ACCOMPLISHMENTS:** Program received 19,647 applications and awarded 856 grants in fiscal year 1980. Program received 12,000 applications and awarded 850 grants in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Chapter II - Department of Energy Part 470 - Appropriate Technology Small Grants Program, Federal Register Vol. 45, No. 28, February 8, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Region 1: Robert Chase, Department of Energy, Analex Building, 150 Causeway Street, Boston, Massachusetts 02114, (617) 223-5207; Region 2: John Bronson, Department of Energy, 26 Federal Plaza, New York, New York 10278, (212) 264-1898; Region 3: Tony Pontello, Department of Energy, 1421 Cherry Street, Philadelphia, Pennsylvania 19102, (215) 597-3607; Region 4: Robert Biccum, Department of Energy, 1655 Peachtree Street, Atlanta, Georgia 30309, (404) 881-2696; Region 5: Roberta Dalton, Department of Energy, 9800 Cass Avenue, Argonne, Illinois 60439, (312) 972-2383; Region 6: Chuck Royston, Department of Energy, P.O. Box 35228, 2626 West Mockingbird Lane, Dallas, Texas 75235, (214) 767-7777; Region 7: Paul Tate, Department of Energy, 324 E. 11th Street, Kansas City, Missouri 64106; (816) 374-3815; Region 8: Bill Ives, Department of Energy, P.O. Box 26247, Belmar Branch, 1075 S. Yukon Street, Lakewood, Colorado 80226, (303) 234-2165; Region 9: Sandra Silva, Department of Energy, 1333 Broadway (7th Floor), San Francisco, California 94612, (415) 764-7049; Region 10: Cheryl McClintock, Department of Energy, Richland Operations Office, P.O. Box 550, Richland, Washington 99352, (509) 376-6222.

**Headquarters Office:** Edward Simmons, CE-24, Department of Energy, Forrestal Building, Washington, DC 20585. Telephone: (202) 252-9104. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A group of private citizens in Arizona has devised an integrated, renewable-energy farm system, which includes a solar box oven, a greenhouse, and a food dryer; eventually, it will also include refrigeration. Calienta, Nevada, a remote low-income community, devised a geothermal system which has resulted in a significant energy savings for the community. A couple in Sioux City, Iowa demonstrated how any existing home can incorporate heating and cooling. This project resulted in the development of a small business building solar collectors for commerical use. The Paiute Indian tribe in Nevada has installed a solar energy system for a fish hatchery, where the fish must be raised in such an even temperature that both heating and cooling are necessary. In Hawaii, an individual built a water wheel that generates electricity for a small community of farmers who are otherwise without lights and power. A Guamanian built a lighted navigation buoy system powered by wind generators. The buoys, which help guide fishing and recreational boats, enable fishermen to work into the evening.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.052 ENERGY CONSERVATION FOR INSTITUTIONAL BUILDINGS

**FEDERAL AGENCY:** CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** National Energy Conservation Policy Act, Title III, Parts 1 and 2, Public Law 95-619, 92 Stat. 3238, 42 U.S.C. 6371.

**OBJECTIVES:** To provide grants to States and to public and private nonprofit schools, public and private nonprofit hospitals, units of local government, and public care institutions to identify and implement energy conservation maintenance and operating procedures, and, for schools and hospitals only, to acquire energy conservation measures to reduce consumption.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Assistance may be used to conduct technical assistance analyses and to acquire and install energy conservation measures. Assistance may not be used for buildings constructed after April 20, 1977, and generally must be matched by the grantee on an equal share basis.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individual local governments and institutions are eligible for assistance to conduct technical assistance analyses. Energy conservation measures grants are available only to schools and hospitals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Modifications to state plans may be submitted any time for future program cycles.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** For applications for technical assistance and energy conservation measures, applications must be submitted in accord with the appropriate State Plan. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications for assistance are reviewed and ranked by State Energy Offices, and forwarded with recommendation for funding to DOE/Regional Offices for final approval or disapproval.

**Deadlines:** For grant program cycle IV: Application submittal date for institutions will be determined by each state energy office. Date for submittal of ranked applications to the DOE support office is June 30, 1982.

**Range of Approval/Disapproval Time:** Thirty to sixty days for Federal (Regional and Headquarters) review.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation are: 1. the total State and territory population contained in the most recent Bureau of the Census, Department of Commerce, official census documents and the source is "Current Population Reports", P-25, No.624, 1976; 2. the climate and the source is NOAA's most recent edition of "State, Regional and National Monthly and Seasonal Heating Degree Days, Weighted by Population"; "State, Regional and National Monthly and Seasonal Cooling Degree Days, Weighted by Population;" and 3. the cost of fuel, Energy Information Administration Service Report "Preliminary 1985, 1990, and 1995 Energy Forecasts for the Annual Report to Congress, 1980." Statistical factors used for eligibility do not apply to this program. Preliminary Energy Audits/Energy Audits: 70 percent population, 20 percent climate, 10 percent equal share; 50/50 matching requirement. Technical Assistance/Energy Conservation Measures: 83 percent population and climate, 10 percent fuel cost, 7 percent equal share.

**Length and Time Phasing of Assistance:** Grant period generally for no more than one year. Assistance is released in segments.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Preliminary energy audits/energy audits: Quarterly reports on progress and expenditures. Technical Assistance/Energy Conservation Measures: Semi-annual reports on progress and expenditures.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Maintain above reports and audit records for at least three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0125-0-1-272.

**Obligations:** (Grants) FY 81 $165,000,000; FY 82 est $48,000,000; and FY 83 est no funds were requested.

**Range and Average of Financial Assistance:** Approximately $150,000 to $1,000,000 for Preliminary Energy Audit/Energy Audit program. Technical assistance analyses grants are $8,000. Energy conservation grants are $60,000.

**PROGRAM ACCOMPLISHMENTS:** Grants program began with first grant issued May 31, 1979. Over one hundred grants were awarded to State Energy Agencies for preliminary energy audits and energy audits. Eleven thousand nine hundred awards were made to institutions through September 30, 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 10 CFR 450, 10 CFR 455. Copies may be obtained from: Publications Sales Branch (NEPS), National Archives and Records Service, Washington, DC 20406.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Support Office, Department of Energy. See Appendix IV of the Catalog for a list of Regional Offices.

**Headquarters Office:** Frank M. Stewart, Institutional Conservation Programs, Office of Conservation and Renewable Energy, CE, 5B151, Department of Energy, Washington, DC 20585. Telephone: (202) 252-2198.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Engineering studies, installation of storm windows, heating plant modernization, installation of solar hot water systems, conversion to wood-chip fired and other renewable resource heating systems.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.056 COAL LOAN GUARANTEES

**FEDERAL AGENCY:** OFFICE OF FOSSIL ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Energy Policy and Conservation Act, Section 102, Public Law 94-163; Energy Conservation and Production Act, Section 164, Public Law 94-395; Power Plant and Industrial Fuel Use Act of 1978, Section 802, Public Law 95-620.

**OBJECTIVES:** To encourage and assist small and medium sized coal producers to increase production of underground low-sulfur coal, to reduce the sulfur content of raw coal through coal preparation, and to enhance competition in the coal industry.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Guaranteed loans can be used to finance the development of a new underground coal mine, the expansion of an existing underground mine, the reopening of a previously closed underground mine, and the construction of a coal preparation plant. The coal from the mining project must not contain more than 0.6 pounds of elemental sulfur per million BTU's at the time of sale to the end user.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual, partnership, corporation, association, joint venture, or any other entity can apply for a guaranteed loan. The applicant and its affiliates cannot have produced, in the previous calendar year, more than one million tons of coal, 300,000 barrels of oil, owned an oil refinery, and had gross revenue in excess of $50 million.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A comprehensive application form (OMB No. 38-R034) has been developed by DOE and is used to apply for a guaranteed loan. Schedule 1 covers the legal, financial, economic, and engineering aspects of the project, firm, and/or principals. Schedule 2 is the Lender's report, and Schedule 3 is the environmental questionnaire.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). An environmental impact statement is required for this program.

**Application Procedure:** Application for a guaranteed loan must be submitted on the Coal Loan Guarantee Application Form, OMB No. 38-R0364.

**Award Procedure:** Guaranteed loan applications are processed by the Program staff, and application approval rests with the Assistant Secretary, Fossil Energy. Concurrence is required from the Environmental Protection Agency concerning compliance with applicable air quality standards, and the Department of Treasury concerning the terms and conditions of the guaranteed loan.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 90-120 days.

**Appeals:** Unlimited rework time available.

**Renewals:** An applicant who has received a loan guarantee can apply for additional loan guarantees for other projects provided the total guarantee amount does not exceed $50 million.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Guaranteed loans may be a maximum of 80 percent of loan amount.

**Length and Time Phasing of Assistance:** The loan is guaranteed up to 30 years. Average time span is expected to be 5 to 15 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required under the guarantee agreement to ascertain technical progress, soundness of financial condition, management capability, and compliance with environmental requirements.

**Audits:** As required by the loan document.

**Records:** Such records as may be necessary for an effective audit and performance evaluation.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0206-0-1-271.

**Obligations:** FY 81 $0; FY 82 est $5,800,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** No minimum, but up to $30 million per applicant and all affiliates. Average is $1.1 million.

**PROGRAM ACCOMPLISHMENTS:** Two conditional commitments for $7.1 million have been approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations published in the Federal Register, November 7, 1978, (43 FR 51956). Brochure DOE/RA-0036, May 1979; Application Form OMB No. 38-R0364.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Albert LeFebure, Project Manager, Coal Loan Guarantee Program, Department of Energy, Room F316, Germantown, MD 20545. Telephone: (301) 353-4343.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Underground coal mines, coal preparation plants.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria are based on: (1) experience in managing coal projects, (2) financial/managerial capabilities, (3) coal technology expertise, and (4) technical and economic viability of project.

## 81.057 UNIVERSITY COAL RESEARCH

**FEDERAL AGENCY:** OFFICE OF FOSSIL ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Public Law 83-703; Energy Reorganization Act of 1974, Public Law 93-438; Research and Marketing Act of 1946, as amended, Public Law 85-934; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Interior and Related Agencies Appropriation Act for 1980, Public Law 96-126.

**OBJECTIVES:** To improve scientific and technical understanding of the fundamental processes involved in the conversion and utilization of coal; to furnish technical support for the ongoing and developing coal conversion process; to produce clear fuels in an environmentally acceptable manner; and to develop new approaches to the design of future coal conversion and utilization technologies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Work must be related to program objectives.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** This program is subject to the provisions of OMB Circular No. A-110. Proposals should be submitted to Pittsburgh Energy Technology Center, U.S. Department of Energy, Attention: John C. Winslow, P.O. Box 10940, Pittsburg, PA 15236.

**Award Procedure:** Proposals reviewed by qualified experts in accordance with the factors listed in the DOE "Assistance Regulations," Federal Register, Vol. 44, No. 47, Part 600. 34 i (1), March 8, 1979, with specific emphasis on the scientific and technical merit of the proposed research and the factors listed as generic goals in the Notice of Program Interest.

**Deadlines:** March 1 of each fiscal year.

**Range of Approval/Disapproval Time:** 60 to 120 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Varies from 12 to 36 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports may be required by technical monitoring groups, usually on a semi-annual basis on progress and expenditures.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Retention as required in OMB Circular No. A-110.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0213-0-1-271.

**Obligations:** FY 81 $5,000,000; FY 82 est $5,400,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $20,000 to $250,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981,330 grant applications were received and 33 were selected for award in August 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 10 CFR 320 published at 44 FR 25592, May 1, 1979; "Notice of Program Interest No. FE-NPI-81-002," dated December 23, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Frank M. Ferrell, Technical Coordinations Staff, Office of Fossil Energy, DOE, Washington, DC 20545. Telephone: (301) 353-2789.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Emphasis is on the scientific and technical merit of the proposed research and the factors listed as generic goals in the Notice of Program Interest.

## 81.058 GEOTHERMAL LOAN GUARANTEES

**FEDERAL AGENCY:** OFFICE OF CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Geothermal Energy Research, Development and Demonstration Act of 1974, Title II, Public Law 93-410; as amended by Department of Energy Act of 1978 - Civilian Applications, Title V, Public Law 95-238.

**OBJECTIVES:** To accelerate the development and utilization of geothermal energy by: minimizing a lender's risk to assure the flow of credit for geothermal projects; enhancing competition; encouraging new entrants into the geothermal marketplace; developing normal borrower-lender relationships and demonstrate the commercial viability of several projects.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Geothermal loan guarantees are available for the purpose of: development, construction and commercial operation of electricity or direct heat applications of geothermal energy, research and development or geothermal extraction, acquisition of rights to geothermal resources, and determination and evaluation of the commercial potential for goethermal resources. Applications are subject to the exercise of project and small business priorities, and a determination of private loan availability.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any private or public (including States, political subdivisions or Indian Tribes) agency, institution, association, partnership, corporation or other legal entity which has presented satisfactory evidence of an interest in geothermal resources and is capable of completing the project in an environmentally acceptable manner.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications for new projects are no longer being accepted, effective January 1982.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 120 days.

**Appeals:** Unlimited rework time available. Appeals may be processed in writing to the Chairman, Board of Contract Appeals, Department of Energy, Washington, DC 20585. The decision by the Board with respect to such appeals is final.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Guaranteed/Insured loans may be a maximum of 75 percent (90 percent for municipalities and cooperatives) of project cost.

**Length and Time Phasing of Assistance:** Maximum guaranty term is 30 years or the expected average useful life of the major physical assets of the project, whichever is less.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required under the guaranty agreement to ascertain technical progress, soundness of financial condition, management capability and compliance with environmental requirements.

**Audits:** As required and provided for under the guaranty agreement.

**Records:** Such records as may be necessary for an effective audit and performance evaluation.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0206-0-1-271.

**Obligations:** (Salaries and expenses) FY 81 $1,284,000; FY 82 est $2,200,000; and FY 83 est $75,000.

**Range and Average of Financial Assistance:** No minimum, maximum is $100 million per project and $200 million per borrower. Average award to date is $27.2 million.

**PROGRAM ACCOMPLISHMENTS:** There are five outstanding guaranties totalling $136 million out of 15 applications received. There are five additional applications totalling $164.3 million under review. There are six more applications being evaluated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final Regulations published in the Federal Register, December 18, 1979 (44 FR 75078), as amended on October 10, 1980 (45 FR 67308) and January 12, 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Kenneth Bromberg, Acting Director, Geothermal Loan Guaranty Office, San Francisco Operations Office, 1333 Broadway, Oakland, CA 94612. Telephone: (415) 273-7151.

**Headquarters Office:** Pauline A. Labrie, Program Manager, Geothermal Loan Guaranty Program, Forrestal Building, Room 5G-030, Washington, DC 20585. Telephone: (202) 252-5343.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** A direct heat food dehydration plant; an exploration project for hot water-based electric power production; three exploratory and full-field development projects for hot water-based electric power production; and one power plant for steam-based electric power production.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria are based on minimum requirements for economic viability, financial capability, and technical feasibility.

## 81.060 ELECTRIC AND HYBRID VEHICLE LOAN GUARANTIES

### (EHV Loan Guaranty Program)

**FEDERAL AGENCY:** OFFICE OF CONSERVATION AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:** Electric and Hybrid Vehicle Research, Development, and Demonstration Act of 1976, Section 10, Public Law 94-413, 15 U.S.C. 2501; as amended by the Department of Energy Act of 1978 - Civilian Applications, Public Law 95-238; Energy Reorganization Act of 1974, Public Law 93-438; and Department of Energy Organization Act, Public Law 95-91; Executive Order 12009, 42 FR 46267.

**OBJECTIVES:** To assist in the introduction of electric and hybrid vehicles into the Nation's transportation fleet; to assure that qualified small business concerns and other qualified borrowers are not excluded due to lack of adequate capital; and to encourage the commercial production of electric and hybrid vehicles.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loan guaranties are available for the purposes of: 1) construction or purchase of capital equipment related to research, development, and production of electric or hybrid vehicles or components thereof; 2) initial operating expenses associated with the development and production of electric or hybrid vehicles or components thereof; or 3) research and development related to electric or hybrid vehicle technology. Priorities to meet program objectives have been established: first priority - commercial production of electric or hybrid vehicles and/or components; second priority - prototype development; and third priority - research and development projects which must first be evaluated on the basis of unsolicited proposals. The loan bears interest on the outstanding principal at a rate not to exceed an annual percentage as determined by the Secretary to be reasonable, taking into account the range of interest rates prevailing in the private sector for similar government obligations of comparable risk. The terms of such loans require full repayment over a period not to exceed 15 years, or 75 percent of the expected average useful economic life of the major physical assets, or other collateral securing such loans, whichever is less. The amount of the guaranty on any loan shall not exceed $3,000,000. The total principal amount of guaranties for any combination of outstanding loans for separate projects, to any single borrower, may not exceed $6,000,000. The project is to be performed in the United States, its territories or possessions, or on property owned or leased by the United States, its territories or possessions.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any individual, partnership, corporation, small business, or other legal entity having authority to enter into a loan agreement which has presented satisfactory evidence of an interest in electric or hybrid vehicles or components thereof in an acceptable manner. A borrower seeking a guaranty must be a citizen or national of the United States.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A loan guaranty application must be submitted, the purpose of which is to provide sufficient evidence that: the project is technically and economically feasible; the prospective borrower will initiate and complete the project in a timely, efficient, and acceptable manner; there is reasonable assurance of the payment of principal and interest on the loan within the specified time, and the collateral pledged will be sufficient; the amount of the loan, when combined with funds available to the qualified borrower from other sources, will be sufficient to carry out the project for which the loan is made; and the project will contribute to the goals of the EHV Program. The borrower must show evidence of valid application to, and rejection from, at least two lenders or evidence of unreasonable terms proposed by the lenders.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** As an initial step, the prospective borrower may elect to submit a project summary which is simply an application brief. It is much less detailed than a formal application and therefore, minimizes the burden placed on the prospective borrower while at the same time expedites the reviewing process and simplifies the application procedure.

**Application Procedure:** Formal application for a loan guaranty is a cooperative effort between the prospective borrowers and lenders. Both the borrower and the lender should make sure that the application is legible and complete, with the component parts clearly referenced. It is the responsibility of the borrower to have a complete understanding of the requirements imposed by both the lender and DOE under the EHV Loan Guaranty Program. The borrower must prepare the application and submit six copies to the lender who should review the content and completeness of the package and hold discussions, as appropriate, with the borrower. The lender should then prepare a loan agreement and a written assessment of all aspects of the application and submit six copies of each with the application to the Chief, Test and Evaluation Branch, Office of Vehicle and Engine Research and Development, U.S. Department of Energy, Washington, DC 20585. An application procedures booklet is available from this office.

**Award Procedure:** The Assistant Secretary for Conservation and Renewable Energy, DOE, has the authority to approve EHV loan guaranty applications. Upon approval of an application, the Office of Procurement and Contracts Management is authorized to negotiate and execute a loan guaranty agreement between DOE, the borrower and the lender.

**Deadlines:** Loan guaranties may be made until September 1983.

**Range of Approval/Disapproval Time:** The time required to process an EHV loan guaranty application is approximately six to eight months from the time the application is completed with all required documentation.

**Appeals:** Not applicable.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The total amount of Federal financial assistance, including the EHV loan guarantee, obtained by the borrower for the project shall not exceed 90 percent of the estimated aggregate net cost of the project to be undertaken by the borrower. A user charge of one percent per annum is imposed on the outstanding principal balance. The full amount is returned to the Treasury and is not available to offset the cost of administration.

**Length and Time Phasing of Assistance:** The lender disburses the funds based on an approved disbursement schedule and on project progress. The maximum loan term is 15 years; the average loan term is 10 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The lender and the borrower are required to provide information related to the project as is necessary to permit a determination of the technical progress, soundness of financial condition, management stability, compliance with the environmental protection requirements and other matters pertaining to the guaranty.

**Audits:** The borrower must agree to monitoring of the loan and business activities, including the right of access to all facilities, books, and other records at reasonable times. In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** None required above the normally imposed requirements of the General Accounting Office.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0215-0-1-999.

**Obligations:** FY 81 $5,500,000; FY 82 est $5,500,000; and FY 83 est $5,500,000.

**Range and Average of Financial Assistance:** Up to $3,000,000. Average: $3,000,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980, four project summaries were submitted (the optional preliminary step in filing an application). Two other applicants submitted formal applications in the same fiscal year. Three project summaries have been received in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 10 CFR 791. EHV Loan Guaranty Information Guide, EHV Loan Guaranty Program - Application Procedures- no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Paul Brown, Electric and Hybrid Vehicles Division, Office of Transportation Programs, U.S. Department of Energy, Washington, DC 20585, Telephone: (202) 252-8027.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Electric Vehicle Associates, Cleveland, Ohio; 97 percent loan guaranty for $2,500,000. The loan is to provide working capital to increase production rates to achieve a production volume greater than 300 electric vehicles per year. Jet Industries, Inc., Austin, Texas; 100 percent loan guaranty for $3,000,000. The loan is to provide working capital to increase production rates to achieve a production volume greater than 900 electric vehicles per year.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria are based on the soundness of the proposed research effort, the plan by which it will be accomplished, the technical competence of personnel conducting the research, and a determination that the research is in fact original and does not duplicate existing projects.

## 81.062 NATIONAL CLUBS, ORGANIZATIONS AND ASSOCIATIONS ENERGY AWARENESS PROJECTS

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Sections 3 and 141(b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2013 and 2161; Energy Reorganization Act of 1974, Title I, Sections 103 and 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Title I, Section 102 and Title III, Section 301, Public Law 95-91, 91 Stat. 565, 42 U.S.C. 7101; National Energy Extension Service Act, Title V, Public Law 95-39, 91 Stat. 191, 42 U.S.C. 7001.

**OBJECTIVES:** To encourage the development of energy awareness campaigns among the membership of national clubs, organizations and associations to increase public understanding of the role of various technologies in meeting energy demands.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The assistance provided includes evaluation of existing energy awareness projects and advice concerning additional projects and ideas as well as identification of DOE films, exhibits and publications available for use in projects. Joint sponsorship by DOE may be considered. Booklets, pamphlets, and leaflets in limited numbers are available free of charge; master copies are available for local reproduction.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Civic clubs, trade associations, business and professional organizations, fraternal orders, veterans organizations, etc., with national organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Send inquiries to address listed in Information Contacts section.

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0228-0-1-999.

**Obligations:** (Salaries) FY 81 $40,000; FY 82 est $7,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, assistance was provided to 9 national organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Brad Byers or Burrell Wood, Special Programs Division, Office of Public Affairs, Room 8H-033, DOE, Washington, DC 20585. Telephone: (202) 252-4670.

**RELATED PROGRAMS:** 81.002, Motion Picture Film Libraries; 81.023, Information Services—Exhibits, Public Speakers, and Publications; 81.036, Energy-Related Inventions.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.063 OFFICE OF MINORITY ECONOMIC IMPACT LOANS

### (OMEI Direct Loans for DOE Bid or Proposal Preparation)

**FEDERAL AGENCY:** OFFICE OF MINORITY ECONOMIC IMPACT, DEPARTMENT OF ENERGY

**AUTHORIZATION:** National Energy Conservation Policy Act of 1978, Title VI, Section 211(e), Public Law 95-619, 42 U.S.C. 7141 (e).

**OBJECTIVES:** To provide direct loans to minority business enterprises to assist them in financing bid or proposal preparation costs they would incur in participating in Department of Energy research, development, demonstration and contract activities.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** The agreements to be supported by the bid or proposal would include procurements, cooperative agreements, grants, loans, and loan guarantees and first-tier subcontracts with DOE-operating contractors. Funds can be used to finance up to 75 percent of allowable bid and proposal preparation costs. Examples of allowable costs include but are not limited to: bid bond premiums; financial, accounting, legal, engineering and other professional services fees; professional services and fees associated with preparing an application or proposal; printing and reproduction costs; travel; and other reasonable costs as determined by the Secretary of Energy. Loan maturity is up to 8 years, 3 months. There is no statutory maximum amount. However, the final loan regulation (46 FR 44683, September 4, 1981) provided in 800.203 for a maximum loan of $50,000. The interest rate is to be established in consultation with the Secretary of the Treasury, taking into consideration the current average market yield of outstanding marketable obligations of the United States having maturities comparable to the loan.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A "Minority Business Enterprise" — A firm including a sole proprietorship, corporation, association, or partnership which is at least 50 percent owned or controlled by a member of a minority or group of members of a minority. "Minority" means any individual who is a citizen of the United States and who is a Negro, Puerto Rican, American Indian, Eskimo, Oriental, Aleut, or who is a Spanish-speaking individual of Spanish descent. Control means direct or indirect possession of the power to direct or cause the direction of, management and policies, whether through the ownership of voting securities, by contract or otherwise.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Self certification statement on minority status. Proof of ownership of applicant concern. Submission of an application form with accompanying financial statements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Item on application form indicated by an asterisk (*) may be submitted for preliminary review in advance of a specific loan request but must be updated at the time of loan request to reflect substantial changes.

**Application Procedure:** An applicant must submit an application form (one original, three copies) to: Office of Minority Impact, Department of Energy, Washington, DC 20585, Attention: Announcement No. DE-PS60-MI.

**Award Procedure:** DOE Contract Officer negotiates a loan agreement upon OMEI loan approval. Thereafter, an agent disburses the proceeds, services the loan, remits collections to the Treasury and, if necessary, liquidates the loan.

**Deadlines:** Program will proceed until program funds are exhausted.

**Range of Approval/Disapproval Time:** One to thirty days.

**Appeals:** Borrower can request contracting officer to reconsider a decision concerning a term or condition under the loan agreement. The Borrower, upon receipt of contracting officer's written decision, may appeal within 60 days in writing to: Chairman, Financial Assistance Appeal Board (FAAB), Department of Energy, Washington, DC 20585.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** The borrower will make available records and other data necessary to permit the Secretary to carry out such an audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0230-0-1-999.

**Obligations:** (Loans) FY 81 $0; FY 82 est $2,300,000; and FY 83 est no funds were requested.

**Range and Average of Financial Assistance:** $1,000 to $ 25,000; $5,000.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final Regulations were published at 46 FR44692 on September 4, 1981.

**INFORMATION CONTACTS:**

**Regional or Local Office:** U.S. Department of Energy, Kathleen Schlegel, San Francisco Operations Office, Minority Loan Program Office, 1333 Broadway, Oakland, CA 94612. Telephone: (415) 273-7151.

**Headquarters Office:** Steven V. Usera, Office of Minority Economic Impact, MA-8, Department of Energy, Forrestal Building, Room 5B-110, Washington, DC 20585. Telephone: (202) 252-8383. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.064 DOE TECHNICAL INFORMATION CENTER

**FEDERAL AGENCY:**DEPARTMENT OF ENERGY

**AUTHORIZATION:** 42 U.S.C. 7151 (A) and 42 U.S.C. 7112 (5).

**OBJECTIVES:** To manage the scientific and technical information resulting from the Department of Energy's research and development and to make available worldwide energy information to DOE program managers, scientists and engineers, and to others who are concerned with the national energy goals.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** The Technical Information Center conducts a centralized technical information management program for the Department of Energy: collecting, managing and disseminating diverse information from a wide variety of programs, projects and energy areas; accumulating and processing all DOE-funded research and development and merging this information with other pertinent and related energy information; participating in establishing national and international standards for information processing and exchange; coordinating, linking, and exchanging information with other information centers and international sources; and providing a single source of availability to assist the Department and its contractors. Information services are provided directly to authorized users in the form of pertinent publications or through the development and maintenance of appropriate data bases, and indirectly by referral to public sales agents and commercially available data base vendors. State governments are urged to deposit research and development reports with the Center who will microfiche, announce and make public through the National Technical Information Service. The nature and extent of services available, as well as where they are available, vary depending on the role and responsibility of the requesting organization and whether the service is provided directly by the Center or referred to a public sales or commercial source.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, schools and academic institutions, industrial organizations, and the general public.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** By written or telephone inquiry to the information contacts shown below.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0230-0-1-270.

**Obligations:** (Salaries and expenses) FY 81 $12,908,000; FY 82 est $15,826,000; and FY 83 est $9,000,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Total energy-related research and development information items in data files: over 1.5 million at the end of fiscal year 1981. Energy research and development items added annually to data bases—160,000; scientific and technical reports received and processed annually—30,000; DOE Research-in-Progress items received, processed and reported annually—9,000; requests for energy information filled—315,000; scientific and technical reports distributed in microfiche and hard copy—7,750,000; consumer oriented energy publications distributed to single copy requests—5,000,000; energy films processed and mailed out on a user fee basis—37,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Technical Information Center publishes research and development reports, abstract announcement and current awareness journals, "Nuclear Safety" (a quarterly journal), monographs and scientific and technical symposia and conferences. The on-line energy data bases are available to DOE organizations and contractors through DOE/RECON and to others through commerical data base vendors.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Customer Services Branch, P.O. Box 62, Oak Ridge, TN 37830; Dora H. Moneyhun, Chief, (615) 576-1303 or FTS 626-1303 (for service information); Bonnie C. Carroll, Assistant Manager for Program Development, (615) 576-3382 or FTS 626-3382 (for input and policy considerations).

**RELATED PROGRAMS:** 81.039, National Energy Information Center.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 81.065 RESEARCH AND DEVELOPMENT NUCLEAR ENERGY PROGRAMS

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To demonstrate the beneficial use of radioisotopes in terrestrial applications; to assure that existing and future nuclear waste is isolated from the biosphere and poses no significant threat to public health and safety.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Assistance may provide for a variety of cost-sharing and incentive arrangements, including awards to individual inventors, joint ownership of Federal-industry corporations, and cost-shared demonstration projects. Financial support, in whole or in part, may be provided for such purposes as salaries, materials, and supplies, equipment, travel, publication costs and services required for conducting research and development. Restrictions on the use of funds depend upon individual grant provisions. Support is provided for research and development in areas such as: nuclear fuel cycle, terrestrial applications, and nuclear waste management. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** City, county and State governments; U.S. Territories; profit and nonprofit private organizations and institutions; individuals; public and private colleges and universities, junior and community colleges.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-21 for institutions of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A letter of inquiry describing the proposed research and development work and capabilities of the proposer to do the work is desirable before preparation of a detailed formal proposal. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Proposer may skip the letter of inquiry and either submit a preproposal or a proposal. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The interest in any proposal is first determined by the Director of the appropriate technical office having purview over the proposed work. Additionally, the proposal may be forwarded for internal and external review and then, if approved, to a DOE procurement office for contract development. For awards to States and political subdivisions, notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Normally three to six months.

**Appeals:** None.

**Renewals:** Proposals for renewal are subject to both internal and external evaluation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing may be appropriate under certain conditions as set forth in DOE procurement regulations governing cost sharing.

**Length and Time Phasing of Assistance:** The schedule of DOE payment is arranged at the time of contract negotiations.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The schedule of reports is arranged at the time of contract negotiations.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Contractor is expected to maintain auditable records to substantiate the total costs incurred under the agreement or contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 89-0224-0-1-271; 89-0225-0-1-271.

**Obligations:** FY 81 $450,000; FY 82 est $2,000,000; and FY 83 est $4,800,000.

**Range and Average of Financial Assistance:** $25,000 to $100,000; $50,000.

**PROGRAM ACCOMPLISHMENTS:** Confirmed feasibility and practicality of nuclear energy center concept in South Carolina; completed climax spent Fuel Test Facility in granite on the Nevada test site; issued EIS and Record of Decision establishing mined geologic disposal as reference strategy for commercial HLW disposal; completed near surface Test Facility in basalt on the Hanford site; and repository site exploration activities were expanded to 31 states in the continental U.S. so that major systems of granite and other geologic environments could be added to the search for highly qualified sites.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guide for the Submission of Research Proposals from Educational Institutions; Guide for the Submission of Research and Development Proposals by Individuals and Organizations Other Than Educational Institutions.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Nuclear Waste Management: Earl Wahlquist (301) 353-4808.

**RELATED PROGRAMS:** 81.036, Energy-Related Inventions; 81.049, Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management.

**EXAMPLES OF FUNDED PROJECTS:** Examples of types of projects funded include: Management and technical support services for systems engineering and economic analysis; Research, development and demonstration in Terrestrial Applications; and Research and development in Nuclear Waste Management including low level wastes and socioeconomic impacts of repository siting.

**CRITERIA FOR SELECTING PROPOSALS:** Merit of the proposal, relevance to the Research and Development Program, contribution toward fulfillment of program objectives, relevant experience of principal investigator and/or organization, and facilities in which proposed work will be conducted.

## 81.074 ALCOHOL FUELS LOAN GUARANTEES

### (Alcohol Fuels)

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** The Energy Security Act, Title II, Public Law 96-294.

**OBJECTIVES:** To accelerate the production of alcohol fuels through the selection, negotiation and monitoring of loan guarantees.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** Loans are only for allowable estimated construction costs not to exceed 90 percent of this value. Guarantee is limited to 90 percent of the loan.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** No restrictions.

**Beneficiary Eligibility:** The direct beneficiaries are the companies selected for loan guarantees; ultimately the American consumer will benefit.

**Credentials/Documentation:** A potential firm must undergo rigorous financial and technical examination by the government and the private lending institution involved with the loan.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicalbe.

**Application Procedure:** Application is made to DOE only as per loan guarantee solicitation.

**Award Procedure:** Review, selection, commitment, negotiation, finalization of loan.

**Deadlines:** This program is not expected to issue any further solicitations.

**Range of Approval/Disapproval Time:** Three to six months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Up to fifteen years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Construction Reports - Quarterly and Annual; Loan Disbursement Reports; Financial Status Reports; Profit and Loss Statements; and Balance Sheets.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform Requirements for Grants to State and Local Governments", audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions", and additional OMB guidance.

**Records:** Business Records are required.

**FINANCIAL INFORMATION:**

**Account Identification:** 20-0114-0-1-271.

**Obligations:** FY 81 $3,000,000; FY 82 est $800,000,000; and FY 83 est undetermined.

**Range and Average of Financial Assistance:** $22,000,000 to $160,000,000.

**PROGRAM ACCOMPLISHMENTS:** Program has been implemented, 11 conditional commitments have been awarded. No final guarantees have been executed.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 10 CFR Part 799.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Dan Beckman, Office of Alcohol Fuels, DOE, Washington, DC 20585. Telephone: (202) 252-9487.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** Qualifications of firms and likelihood of project success.

## 81.075 ENERGY GRADUATE TRAINEESHIP PROGRAM

**FEDERAL AGENCY:** DEPARTMENT OF ENERGY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Section 31(a) and (b), Public Law 83-703, 68 Stat. 919, 42 U.S.C. 5051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:** To encourage the training of additional U.S. Nationals pursuing advanced degrees in specific energy-related disciplines which are critical to the future development of advanced energy systems. To provide doctoral-level training and research experience through active participation in established, on-going programs of energy research and to ensure that trainees obtain a broader understanding of the development and application of advanced energy technologies through close involvement with researchers and research programs in the energy industry and/or the Department of Energy's major multi-program laboratories.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Program emphasis will be placed on projects which contribute to the advancement of fossil energy and the nuclear technologies in chemical, mechanical, nuclear, and/or petroleum engineering.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education which have doctoral programs in the engineering disciplines for which support is requested. Each department or academic unit requesting support must have awarded a minimum of four doctoral degrees in the specified discipline during the previous three years and must have a minimum of three faculty members currently conducting energy research projects supported by non-campus sources.

**Beneficiary Eligibility:** Limited to U.S. Nationals who have been admitted to full graduate standing in the traineeship discipline.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** None.

**Application Procedure:** Written proposal submitted to the Department of Energy in accordance with the Notice of Program Announcement. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Against the criteria outlined in the Notice of Program Announcement. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** December 11, 1981.

**Range of Approval/Disapproval Time:** Sixty to ninety days.

**Appeals:** None.

**Renewals:** Each traineeship award will normally be supported for three years with support for the second and third years contingent upon the institution's performance and the availability of DOE program funds.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** No formal requirements but encouraged.

**Length and Time Phasing of Assistance:** Traineeships may be awarded to individual trainees for a minimum of nine months and a maximum of three years with support beyond the first year subject to the trainee meeting the institution's requirements for academic and research performance and the availability of DOE program funds.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Copies of official announcement concerning availability of traineeships, traineeship identification reports, annual progress reports, final report, and follow-up data on trainees for five years, as requested.

**Audits:** On a selective basis.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 89-0224-0-1-271.

**Obligations:** FY 81 $0; FY 82 est $1,000,000; and FY 83 est No funds were requested.

**Range and Average of Financial Assistance:** A minimum of four traineeship years of support to a participating institution with a stipend maximum of each at $10,000 per year and an institutional allowance maximum of each at $4,000 per year for costs incurred in support of each traineeship.

**PROGRAM ACCOMPLISHMENTS:** None.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Notice of Program Announcement available in October 1981 from Office of Energy Research (Division of University and Education Programs), Department of Energy, Washington, DC 20585.

INFORMATION CONTACTS:

**Regional or Local Office:** Oak Ridge Operations Office, Walker K. Love, Contract Management Branch, Procurement and Contracts Division, Oak Ridge, TN 37830. Telephone: (615) 576-0791.

**Headquarters Office:** Ruth Ann Verell, University and Education Programs, Office of Energy Research, DOE, Washington, DC 20585. Telephone: (202) 252-8669.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** (1) Overall merit of proposed traineeship program and the potential to provide energy-oriented doctoral training; (2) technical merit and energy relevance of the ongoing research programs; (3) qualifications of faculty; (4) potential for insuring meaningful trainee interaction with energy industries and/or DOE's major multi-program laboratories; (5) potential of plan for attracting high quality trainees; (6) traineeship management plan; and (7) record of doctoral degree productivity of participating departments.

# INTERNATIONAL COMMUNICATION AGENCY

## 82.001 EDUCATIONAL EXCHANGE—GRADUATE STUDENTS

### (Fulbright Program)

**FEDERAL AGENCY:** INTERNATIONAL COMMUNICATION AGENCY

**AUTHORIZATION:** Public Law 87-256, as amended; 22 U.S.C. 2451 et seq.

**OBJECTIVES:** To improve and strengthen international relations of the United States by promoting better mutual understanding among the peoples of the world through educational exchanges.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The grants are designed to give U.S. students the opportunity to live and study in a foreign country for one academic year with possible renewals or extensions. Grants specify terms and conditions to meet the educational goals proposed by the grantee and approved by the Board of Foreign Scholarships in making the award. Full grants: Round trip transportation, language or orientation course (where appropriate), tuition, books, maintenance for one academic year in one country, and health and accident insurance. Travel grants: The grants supplement maintenance and tuition scholarships granted to American students by universities, private donors, and foreign governments which do not cover the cost of transportation. Opportunities of special interest, primarily teaching assistantships in English in selected countries.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** To individuals with the following qualifications: (a) U.S. citizenship at the time of application; (b) with certain exceptions, B.A. degree or its equivalent before the beginning date of the grant; (c) candidates may not hold a doctoral degree at the time of application; (d) applicants must have received the majority of their high school and their undergraduate college education at educational institutions in the United States; (e) language proficiency sufficient to communicate with the people of the host country and to carry out the proposed study; (f) language proficiency is especially important for students wishing to undertake projects in the social sciences and the humanities; and (g) good health.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** See Applicant Eligibility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Applicants who are enrolled in U.S. colleges and universities should contact their Fulbright program advisers on campus. Others should write to the nearest office of the Institute of International Education (IIE) 809 United Nations Plaza, New York, NY 10017; 65 East South Water Street, Chicago, IL 60601; 700 Broadway, Suite 112, Denver, CO 80203; 1132 W. Peachtree Street, NW, Atlanta, GA 30309; Suite 1-A, World Trade Center, 1520 Texas Avenue, Houston, TX 77002; 3850 Wilshire Blvd., Los Angeles, CA 90010; Eleven Dupont Circle, NW, Washington, DC 20036; 291 Geary Street, San Francisco, CA 94102.

**Award Procedure:** Final selection of grantees is made by the Presidentially-appointed Board of Foreign Scholarships.

**Deadlines:** Competitions normally open on May 1. Enrolled applicants must submit applications to the campus Fulbright program adviser by the date set by him. At-large applicants must normally submit applications to the New York office of IIE by November 1. Note: Travel grant application deadline is February 1. Applications for travel grants to supplement IIE-administered awards must, however, be submitted by the November deadline.

**Range of Approval/Disapproval Time:** Variable.

**Appeals:** None.

**Renewals:** Extensions possible.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** One academic year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports by all academic grantees are required at the end of their grants.

**Audits:** Not applicable.

**Records:** As prescribed by grant terms.

**FINANCIAL INFORMATION:**

**Account Identification:** 67-0201-0-1-154; 67-0205-0-1-154.

**Obligations:** (Grants) FY 81 $2,509,980; FY 82 est $2,714,578; and FY 83 est $3,085,843.

**Range and Average of Financial Assistance:** $1,000 to $15,000; $7,212 average in FY 81.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the international educational exchange program awarded 348 grants to American graduate students to study abroad. For fiscal year 1982 and 1983, it is estimated that approximately 349 and 365 grants will be awarded respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Annual announcement: Grants for Graduate Study Abroad, issued by Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Application Procedure.

**Headquarters Office:** Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**RELATED PROGRAMS:** 82.002, Educational Exchange—University Lecturers (Professors) and Research Scholars.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 82.002 EDUCATIONAL EXCHANGE—UNIVERSITY LECTURERS (PROFESSORS) AND RESEARCH SCHOLARS

### (Fulbright—Hays Program)

**FEDERAL AGENCY:** INTERNATIONAL COMMUNICATION AGENCY

**AUTHORIZATION:** Public Law 87-256, as amended; 22 U.S.C. 2451 et seq.

**OBJECTIVES:** To improve and strengthen the international relations of the United States by promoting mutual understanding among the peoples of the world through educational exchanges.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants for professors (university lecturers) and research scholars are usually for a full academic year, and generally tenable in one country. The lectureships permit the grantees to lecture or serve as visiting professors in institutions of higher learning. The research grants offer opportunities for U.S. citizens to undertake postdoctoral research at overseas universities, colleges, and certain research centers and institutes. Grants specify terms and conditions to meet the educational goals proposed by the grantee and approved by the Board of Foreign Scholarships in making the award. Individual grants generally include round-trip transportation, for the grantee and one dependent of lecturer only, a maintenance allowance payable in foreign currency where available, and a small incidental allowance for travel, books and services essential to the assignment. Where maintenance is payable in foreign currency, lecturers for countries except Western Europe usually receive a supplemental dollar allowance based on number of dependents.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** To individuals with the following qualifications: (1) U.S. citizenship at the time of application. (2) For lecturing:

college or university teaching experience at the level for which application is made. (3) For research: a doctoral degree or, in some fields, recognized professional standing as demonstrated by faculty rank, publications, compositions, exhibition record, concerts, etc. Candidates for a doctorate and persons wishing to undertake other predoctoral professional training abroad should write to the Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** See Applicant Eligibility.

### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Persons who meet the eligibility requirements and who wish to receive announcements of openings are invited to file a registration form available from the campus Faculty Fulbright Advisor or the Council For International Exchange of Scholars, 11 Dupont Circle, Washington, DC 20036. Registrants receive annual announcements of openings. To file for an announced opening, a registrant must submit supplementary forms to the Council.

**Award Procedure:** Final selection of grantees is made by the Presidentially-appointed Board of Foreign Scholarships.

**Deadlines:** Subject to change, but generally application before July 1 is recommended for lectureships listed. Screening begins shortly after this date and lectureships decrease in number as nominations are made during the summer and fall. July 1 is the closing date for applying for most research awards listed. Application may be made after July 1 for travel-only grants for a limited number of countries.

**Range of Approval/Disapproval Time:** Applicants are notified within ten days if they are ineligible. Final notification of selection for an opening occurs in seven to eight months.

**Appeals:** Not applicable.

**Renewals:** Extensions considered where appropriate.

### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Up to one school year.

### POST ASSISTANCE REQUIREMENTS:

**Reports:** Reports by all academic grantees are required at the end of their grant period.

**Audits:** Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:** None.

### FINANCIAL INFORMATION:

**Account Identification:** 67-0201-0-1-154; 67-0205-0-1-154.

**Obligations:** (Grants) FY 81 University Lecturers, $8,737,355; Research Scholars, $2,580,253; FY 82 est University Lecturers, $8,879,343; Research Scholars, $2,458,817; and FY 83 est University Lectures, $10,469,412; Research Scholars, $2,930,266.

**Range and Average of Financial Assistance:** $2,000 to $40,000; $14,094 average in FY 81.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the international educational exchange program awarded 560 grants to American university lecturers, and 243 to American research scholars, with the total number of grants amounting to $11,317,608. For fiscal year 1982, it is estimated that approximately 778 grants under both categories, amounting to $11,338,160, will be awarded. For fiscal year 1983, it is estimated that approximately 828 grants under both categories, amounting to $13,399,678, will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Annual announcement: University Lecturing Advanced Research issued by Council For International Exchange of Scholars, 11 Dupont Circle, Suite 300, Washington, DC 20036.

### INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Council For International Exchange of Scholars, 11 Dupont Circle, Suite 300, Washington, DC 20036.

**RELATED PROGRAMS:** 82.001, Educational Exchange—Graduate Students.

**EXAMPLES OF FUNDED PROJECTS:** Projects were funded: 1) to conduct research on Indonesian language and linguistics; 2) to conduct research on Ethnohistory in Mexico; 3) to lecture in Geography-Human/Cultural analysis of development problems in relation to resource geography (India); 4) to lecture in Chemistry at University of Liberia 5) to conduct research in Physics-collaborative work with a professor on the dynamics of the XY model based on some physical and mathematical ideas that were jointly developed.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Is proposal feasible and practical. 2) Is proposal already being done (no need for duplication). 3) Is proposal cost effective, based on limited budget. 4) Is proposal politically sensitive. 5) Is proposal a country priority. 6) Applicant's degree of seriousness of purpose.

# FEDERAL EMERGENCY MANAGEMENT AGENCY

## UNITED STATES FIRE ADMINISTRATION

### 83.002 STATE FIRE INCIDENT REPORTING ASSISTANCE

**FEDERAL AGENCY:** UNITED STATES FIRE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Section 9(b)(1) and 9(b)(2) of the Federal Fire Prevention and Control Act of 1974; Public Law 93-498; 15 U.S.C. 2201-2219; Reorganization Plan No. 3, 1978.

**OBJECTIVES:** To assist States in the establishment and operation of a statewide fire incident and casualty reporting system.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Collection and assembly of fire data from local fire departments for compiling National Statistical reports, and for use by State and local fire officials.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, the District of Columbia, Commonwealth of Puerto Rico, territories and possessions of the U. S. and large cities with populations of 500,000 or more are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Complete Standard Form 424 (10-75).

**Award Procedure:** Reviewed by appropriate program, administrative and legal staffs. Final approval resides with the Federal Emergency Management Agency's Office of Finance and Administration.

**Deadlines:** Usually 2 months from date of USFA's letter of invitation to prospective grantees.

**Range of Approval/Disapproval Time:** 90 days.

**Appeals:** Rework time available with no guarantee that funds will be available upon reapplication.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factor used for fund allocation is State population estimates from the source Statistical Abstracts, 1979, Census, P-25. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Grants are awarded for a period of one year. Grant payments are made quarterly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Periodic interim reports and a final written project report due at end of one year.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to insure that funds have been applied efficiently, economically, and effectively.

**Records:** Fire incident records will be supplied on a continuing basis.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Grants) FY 81 $207,500; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Up to $70,000 per State ($25,000 first year, $15,000 second year), and ($30,000 third year quality control grants), flat grant awards.

**PROGRAM ACCOMPLISHMENTS:** Five second year grants were awarded in fiscal year 1981. In addition five quality control grants were awarded during fiscal year 1981. Quality control grants assist States in attaining, as much as possible, an error-free and complete reporting system once the State reporting system is operating. Up to two start-up (first year) grants will be awarded in fiscal year 1981. Up to 5 start-up (First year) grants for States, and 3 grants for cities/counties with population of 500,000 or more will be awarded in fiscal year 1982. Up to 9 quality control grants to States will be awarded in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Guidelines available.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Fire Data Center, Fire Administration, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0876.

**RELATED PROGRAMS:** 83.404, Academy Planning Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Computer output reports of each participating State which shows their quarterly fire statistics are available.

**CRITERIA FOR SELECTING PROPOSALS:** Evaluations are done based on written FEMA/USFA, NFDC criteria.

### 83.003 PUBLIC EDUCATION ASSISTANCE PROGRAM

### (PEAP)

**FEDERAL AGENCY:** UNITED STATES FIRE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Fire Prevention and Control Act of 1974, Section 6 and 21 (b) (1), Public Law 93-498; Reorganization Plan No. 3, 1978.

**OBJECTIVES:** To develop or improve States' capacity to provide communities with leadership, information and materials, technical assistance and training in planning, implementing, and evaluating public fire education programs that will reduce State and local fire losses.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used only for development of statewide public fire education assistance programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, District of Columbia, Commonwealth of Puerto Rico, territories and possessions of the U.S. are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Completion of the previous Phase before applying for following Phase. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Complete Standard Form 424 (10-75). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Reviewed by appropriate program, administrative and legal staffs. Final approval resides with USFA Administrator. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** A deadline is specified each time the announcement is made that applications are to be accepted.

**Range of Approval/Disapproval Time:** Approximately 90 days.

**Appeals:** Rework time available with no guarantee that funds will be available upon reapplication.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Grants are awarded for a period of one year. Grant payments are made quarterly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Written quarterly reports or other evaluation technique will be required.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically and effectively.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Grants) FY 81 $75,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Phase I $5,000, Phase IIa and IIb $15,000 each.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1980, 3 Phase I, five Phase IIa grants and four Phase IIb grants were awarded. Fiscal year 1981, two Phase IIa grants and four Phase IIb grants were awarded. Fiscal year 1982, no awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Public Education Assistance Program Guidelines" Pamphlet.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Project Manager, Office of Fire Protection and Engineering, Fire Administration, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0808.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** After successful pilot testing by California, Delware, Illinois and Oregon during fiscal years 1977 and 1978, 14 additional States have joined the program. By fiscal year 1980, Connecticut, Georgia, Missouri, North Carolina and Oklahoma were completing Phase IIa and preparing for Phase IIb. Six additional States--Alaska, Arizona, Minnesota, Montana, Pennsylvania and Washington--completed Phase I in fiscal year 1980. Three new States began the program in fiscal year 1980.

**CRITERIA FOR SELECTING PROPOSALS:** Quality of proposal; funding available (see guidelines); public fire education program; leadership; and local fire service involvement.

## 83.004 TECHNICAL SUPPORT SERVICES

### (Master Planning Technical Support Services)

**FEDERAL AGENCY:** UNITED STATES FIRE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Fire Prevention and Control Act of 1974; Public Law 93-498; Reorganization Plan No. 3, 1978.

**OBJECTIVES:** To encourage communities and multijurisdictional entities to engage in master planning for fire protection, and emergency services, and to assist them in their master planning efforts, including data collection and analysis, selection of alternatives, setting goals and objectives, and implementing the Master Plan.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** To qualify for this technical assistance, the fire chief and city manager must be supportive and commited to the concept of master planning.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State, the District of Columbia, Commonwealth of Puerto Rico, territories and possessions of the U.S. are eligible to apply.

**Beneficiary Eligibility:** Not applicable.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Letter of interest to be submitted to the Office of Fire Protection Management.

**Application Procedure:** Letter of commitment to Master Planning endorsed by the fire chief and the city manager sent to the Office of Fire Protection Management.

**Award Procedure:** Telephone call followed by letter of confirmation.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** As necessary.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Technical Support Services facilitators follow up and provide Quarterly Reports; communities provide evaluation of Technical Support Services.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** No documentation.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Information sheet available from headquarters office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Fire Protection Management, Fire Administration, Federal Emergency Management Agency, Washington DC 20472. Telephone: (202) 287-0770.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Request for technical support services are evaluated according to the need, and the commitment to master planning.

## 83.005 ARSON TASK FORCE ASSISTANCE PROGRAM

### (ATFAP)

**FEDERAL AGENCY:** FIRE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Reorganization Plan No. 3; Public Law 95-422.

**OBJECTIVES:** To assist States and localities to increase their capabilities for effective arson prevention and control by aiding in the development and implementation of Arson Task Forces as a management systems approach to the problem.

**TYPES OF ASSISTANCE:** Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Assistance limited to public agencies in States or localities in which fire, chief executive, police and prosecutor are committed to coordinated efforts to combat arson.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, the District of Columbia, commonwealths, territories, possessions, county and municipal governments.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Letter of request submitted to the Office of Fire Protection Management, USFA.

**Application Procedure:** Letter of commitment to establish arson task force from chief executive.

**Award Procedure:** Letter of confirmation/telephone call to schedule delivery.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports on implementation of Arson Task Force and Programs. Report on impact on local arson problem.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Salaries and expenses) Not separately identified.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, delivered training to 406 communities; assisted in establishment of over 263 local Arson Task Forces and 34 State Arson Task Forces.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available upon request from headquarters office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Office of Fire Protection Management, Fire Administration, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0770.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Request evaluated to determine level of commitment.

## 83.007 REIMBURSEMENT FOR FIREFIGHTING ON FEDERAL PROPERTY

**FEDERAL AGENCY:** UNITED STATES FIRE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Fire Prevention and Control Act of 1974, Sections 11 and 21 (b)(5); Public Law 93-498; 88 Stat. 1535 (1545c 2210 and 2218(b)(5). Reorganization Plan No.3 of 1978 (43 FR 41943) and Executive Order 12127 dated March 31, 1979, 44 FR 19367 and delegation of authority to the U.S. Fire Administrator.

**OBJECTIVES:** To provide that each fire service which engages in firefighting operations on Federal property may be reimbursed for their direct expenses and direct losses incurred in firefighting.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Reimbursement is provided only for cost and direct losses over and above normal operating cost.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Fire Departments, Volunteer and paid of the State, District of Columbia, Commonwealth, Territories and Possessions of the United States are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** See 44 CFR 151 for requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** See 44 CFR 151 for details.

**Award Procedure:** None.

**Deadlines:** To be considered, a claim must be filed in writing with the Administrator, United States Fire Administration, within 90 days of the occurrence of the fire for which reimbursement is requested.

**Range of Approval/Disapproval Time:** Approximately 90 days.

**Appeals:** 30 days after receiving an initial notification of decision.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** Deferred records should be maintained to prove actual expenses incurred.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Direct Payments) Not separately identifiable.

**Range and Average of Financial Assistance:** From a few dollars to $500,000, but there is no stated limit.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, program assisted numerous fire departments in bearing the expense of fighting fires on Federal property.

**REGULATIONS, GUIDELINES, AND LITERATURE:** See 44 CFR 151.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Marlene Hattermann, Federal Emergency Management Agency, Washington, DC 20412.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Fire departments which are required to fight fires on Federal property for which they are not otherwise reimbursed may be reimbursed under this program for direct losses and direct expenses over and above normal operating expenses. There is no limit on the amount of reimbursement; however, all claims must be accompanied by sufficient supporting data to prove expenses and losses incurred in the amount claimed.

## 83.100 FLOOD INSURANCE

**FEDERAL AGENCY:** FEDERAL INSURANCE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Housing and Urban Development Act of 1968, Title XIII, Public Law 90-448, as amended, 82 Stat. 476 and 83 Stat 396, 42 U.S.C. 4001-4128; and Flood Disaster Protection Act of 1973, Public Law 93-234, as amended, 87 Stat 975. NOTE: Effective April 1, 1979, as mandated by Executive Order 12127, the Federal Insurance Administration was transferred to the Federal Emergency Management Agency.

**OBJECTIVES:** To enable persons to purchase insurance against losses from physical damage to or loss of real or personal property caused by floods, mudflow, or flood caused erosion in the United States and to promote wise flood plain management practices in the Nation's flood-prone and mudflow-prone areas.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Under the emergency phase of the NFIP, property owners may buy flood insurance at a chargeable premium rate that is generally lower than a normal actuarial rate, reflecting a subsidy by the Federal Government. Maximum amounts of such coverage available under the emergency phase of the Program are: $35,000 for a single-family home, $100,000 for all other residential structures, plus $10,000 per dwelling unit for any contents; for nonresidential structures, an aggregate liability for any single structure of $100,000 and for contents, $100,000 per occupant. Once a detailed flood insurance risk study has been completed the community enters the regular program and actuarial rates have been determined, additional coverage on existing properties may be purchased at these actuarial rates. The maximum coverage available under the regular Program is: $185,000 for single-family residential structures; $250,000 for all other residential structures; $60,000 for contents per dwelling unit; $250,000 for small business structures; $300,000 for contents of small businesses; $200,000 for other nonresidential structures and $200,000 for their contents. Properties built within identified special flood hazard areas after the effective date of the Flood Insurance Rate Map or after December 31, 1974, whichever is later, are eligible for flood insurance only at actuarial rates. Under the Flood Disaster Protection Act of 1973, effective March 2, 1974, flood insurance must be purchased as a condition of any form of Federal or federally-related financial assistance, including Federal grants, disaster assistance and mortgage loans from federally regulated lending institutions and FHA and VA insured or guaranteed mortgages for acquisition or construction purposes within identified special flood hazard areas where flood insurance is available. In a Regular Program Community the maximum insurance required as a condition of Federal or federally-related financial assistance for construction or acquisition purposes within the identified special flood hazard area need not exceed twice the emergency phase limits for the same structure. Communities having one or more identified special flood hazard areas must enter into the National Flood Insurance Program by July 1, 1975, or 1 year after the official identification of their special flood hazard areas, whichever is later, or be denied Federal or federally-related financial assistance for acquisition or construction purposes within those areas. Federally regulated conventional sources (i.e., banks, savings and loan associations, or similar lending institutions) are permitted to make loans secured by improved real estate or a mobile home located or to be located in the identified special flood hazard area of a nonparticipating community which has been formally identified as flood-prone for more than 1 year, but Federal disaster assistance for acquisition or construction purposes will not be available in the event of flood or flood-related property damage. Therefore, the conventional lender is statutorily required to notify the borrower, before making a loan in such an area, whether Federal disaster assistance will be available to the property.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Flood insurance can be made available in any community (a State or political subdivision thereof with authority to adopt and enforce flood plain management measures for the areas within its jurisdiction) that submits a properly completed application to FEMA including copies of enacted flood plain management measures consistent with the National Flood Insurance Program regulations.

**Beneficiary Eligibility:** Residents and property owners in applicant community.

**Credentials/Documentation:** Same as Applicant Eligibility.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications for community eligibility are subject to review by State and areawide clearinghouses pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Community officials must submit an eligibility application form, which is available from the FEMA, together with: copies of adopted flood plain management measures meeting the minimum standards of 44 CFR Section 60.3(a) or 60.3(b); a list of any incorporated communities within the applicant's boundaries, and estimates of population and, by kind, of buildings situated in the known flood-prone areas of the community. Such Applications should be submitted to the Office of State and Local Programs and Support, FEMA, Washington, DC 20472.

**Award Procedure:** FEMA reviews the application and if complete, designates the community as eligible. The community is informed of its eligibility, and notice is published in the Federal Register. Residents and property owners may then purchase flood insurance through any licensed property or casualty insurance agent or broker licensed within that State.

**Deadlines:** Communities with one or more identified areas of special flood hazard must enter the program by July 1, 1975, or 1 year after the identification of those areas, whichever is later, before lending prohibitions in identified hazard areas take force. Once the community does qualify, after the prescribed date, the lending prohibitions are removed. Adequate flood plain management measures must be in effect within 6 months of the date that the special flood hazard area is identified and within 6 months of the date water surface elevations are provided.

**Range of Approval/Disapproval Time:** For complete applications, a maximum of 10 working days is allowed for review and notification.

**Appeals:** Communities are allowed to appeal flood-prone identification and are also given an opportunity to appeal proposed elevation determinations for new construction and substantial improvement of existing structures in the special flood hazard areas. Notice of the proposed levels is published in the Federal Register and is sent directly to the local governments. Following notification to the local government, the notice of proposed flood elevation determinations is published twice during a 10-day period in a prominent newspaper. The local community and its individual residents then have 90 days following the second newspaper notice to submit any scientific or technical data that tend to negate or contradict FEMA's findings. If a conflict in data exists and cannot be resolved at the community level, the community consolidates all individual appeals for review by FEMA. The FEMA shall resolve the appeals by consultation with officials of the local government, or by submission of conflicting data to an independent scientific body, or by administrative hearings.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual to FEMA on progress of the flood plain management program.

**Audits:** None.

**Records:** Specific elevation information on proposed new construction in the area of special flood hazard. Backup data for annual report.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-453, 58-4236-0-3-453.

**Obligations:** (Salaries and expenses) FY 81 and FY 82 are included in the budget for FEMA. (Flood plain studies) FY 81 $51,653,000; FY 82 est $38,040,000; and FY 83 est $53,600,000.

**Range and Average of Financial Assistance:** Claims paid: $1 to $100,000; $6,1246.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 17,172 communities eligible; 1,887,027 policies in effect; and $97,654,184,000 insurance in force.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulation 44 CFR 59 et seq. Publication, "Questions and Answers on the National Flood Insurance Program," "Mandatory Purchase of Flood Insurance Guidelines," "Elevated Residential Structures," "How to Read a Flood Hazard Boundary Map" (English and Spanish Language Versions) "How to Read a Flood Insurance Rate Map," "Flood Insurance Manual" (agents manual), "National Flood Insurance Program Application Forms," "Community Assistance Series Vol. 1-4," "Design and construction manual for Residential Buildings in Coastal High Hazard areas," "Elevating to the Wave Crest Level," "Manual for the Construction of Presidential Basements in Non-coastal Flood Environs," and "Evaluation of the Economic, Social, and Environmental Effects of Floodplain Regulations."

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate FEMA regional office, or the State Office responsible for coordinating the program's activities.

**Headquarters Office:** For Insurance questions: Federal Insurance Administration, FEMA, Washington, DC 20472. Telephone: 287-0750. For Engineering and Flood Plain Management questions: State and Local Programs and Support, FEMA, Washington, DC 20472. Telephone: (202) 287-0176.

**RELATED PROGRAMS:** 10.450, Crop Insurance; 12.104, Flood Plain Management Services; 59.008, Physical Disaster Loans; 83.501, State Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.101 URBAN PROPERTY INSURANCE

## (Riot Reinsurance and Fair Plans)

**FEDERAL AGENCY:** FEDERAL INSURANCE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Urban Property Protection and Reinsurance Act of 1968, Title XI; Public Law 90-448; 82 Stat. 476, 555, as amended; 12 U.S.C. 1749bbb, et seq. NOTE: Effective April 1, 1979, as mandated by Executive Order 12127, the Federal Insurance Administration was transferred to the Federal Emergency Management Agency.

**OBJECTIVES:** To assure availability of essential insurance coverage for urban property, particularly that located in areas possibly subject to riots or civil disturbance, by providing reinsurance to insurers against catastrophic losses from riot or civil disorder.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Federal reinsurance against excess losses resulting from riots and civil disorders is available only to property insurance companies that cooperate as risk-bearing members of a State Fair Access to Insurance Requirements (FAIR) Plan. These plans are designed to assure reasonable access to basic property insurance (fire, extended coverage, and vandalism and malicious mischief) to any property owner in urban areas. FAIR Plans operate in 26 States, the District of Columbia, and Puerto Rico (December 1, 1976). Available only in States (a) with acceptable FAIR Plans and (b) which have provided for appropriate State sharing in reinsurance of losses. As of September 30, 1981, 17 States, and the District of Columbia were eligible for Federal Riot Reinsurance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For riot reinsurance: Property insurance companies participating as risk-bearing members of the FAIR Plan in the State in which reinsurance is written. For FAIR Plans: Must operate under State insurance authorities and meet Federal Insurance Administration standards. For owners of property in urban area: Property must be found insurable (upon inspection); premium rate depends upon the physical condition of the property without regard to environmental hazards. For States: FAIR Plan, commitment to reimburse the Director.

**Beneficiary Eligibility:** Property insurance companies should contact the Federal Insurance Administration to ascertain their eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** For Federal reinsurance, the private insurer agrees to participate in approved FAIR Plans, and completes the Standard Reinsurance Contract provided.

**Award Procedure:** Reinsurance contracts signed by the Federal Insurance Administrator.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Same as original application.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not directly applicable; however, in addition to FAIR Plans, States must enact legislation under which they agree to share excess losses with the Federal Government.

**Length and Time Phasing of Assistance:** Policy year is October 1 to September 30 of the following year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** By FAIR Plans - quarterly. By insurers - company annual reports made to State regulatory authority; less reports.

**Audits:** Annually for FAIR Plans among the States, with maximum participation by the State insurance authorities.

**Records:** Copies of company annual reports, made to State regulatory authority.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-4235-0-3-451.

**Obligations:** (Salaries and expenses) FY 81 $121,000; FY 82 est $135,000; and FY 83 est $112,000.

**Range and Average of Financial Assistance:** Claims: $60 to $900,000; $26,916.

**PROGRAM ACCOMPLISHMENTS:** Companies participating in 1981, 300; reinsurance claims approved in 1981, $0.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations: 24 CFR Part 1905-1907.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate FEMA regional office, listed in the Catalog address appendix, or State insurance authorities or State FAIR Plans.

**Headquarters Office:** Assistant Administrator, Office of Insurance Operations, Federal Insurance Administration, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 755-6580.

**RELATED PROGRAMS:** 59.002, Economic Injury Disaster Loans; 59.008, Physical Disaster Loans; 83.102, Crime Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.102 CRIME INSURANCE

**FEDERAL AGENCY:** FEDERAL INSURANCE ADMINISTRATION, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Housing and Urban Development Act of 1970, Title VI, Public Law 91-609, 84 Stat. 1770, 1789; 12 U.S.C. 1749bbb et seq., as amended. NOTE: Effective April 1, 1979 as mandated by Executive Order 12127, the Federal Insurance Administration was transferred to the Federal Emergency Management Agency.

**OBJECTIVES:** To enable businessmen and residents of homes and apartments to purchase burglary and robbery insurance in States where there is a critical problem of crime insurance availability at affordable rates which is not being resolved by appropriate State action.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Businessmen and residents of homes and apartments may purchase crime insurance policies through any insurance agent or broker in States which have been designated by the Federal Insurance Administrator as having a critical problem of availability of crime insurance at affordable rates. States covered by crime insurance: Arkansas, California, Colorado, Connecticut, District of Columbia, Georgia, Illinois, Alabama, Kansas, Maryland, Missouri, Ohio, Rhode Island, Tennessee, Delaware, Massachusetts, Minnesota, New York, Iowa, North Carolina, Puerto Rico, Pennsylvania, Florida, New Jersey, Virgin Islands, Washington, Wisconsin, New Mexico, Virginia and Louisiana. Residential policies are combination burglary and robbery offering up to $10,000 coverage. Commercial policies protect against loss from burglary and/or robbery and provide coverage up to $15,000 on a per occurrence basis. Both residential and commercial policies are subject to deductibles.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Businessmen and residents of homes and apartments for premises located in States designated by the Federal Insurance Administration. The applicant must have protective equipment which meets the FIA standards, and pay the specified premium. Protective devices are not currently required for commercial premises insured against loss from robbery only. Commercial premiums vary according to type of business and gross receipts. Commercial and residential premiums reflect degree of crime rate of the area in which premises are located.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** In the event of loss, complete the Notice and Proof of Loss, Form HUD 1640. Mail to the servicing company through the agent or broker.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible applicants must complete the Application Form and any amendatory endorsements which may be in use provided by local insurance agents, brokers, or the servicing companies. (Forms HUD-1621 or 1631.)

**Award Procedure:** Not applicable.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Policies effective 12 noon of the day following date application is signed. Issuance of commercial policies against burglary losses is subject to satisfactory inspection of premises to determine compliance with protective devices requirements. May require up to 21 days for inspection but effective date of policy is dated back to noon of the day following date of application.

**Appeals:** Not applicable.

**Renewals:** See Applicant Eligibility.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None from policyholder.

**Audits:** None for policyholder.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-4235-0-3-451.

**Obligations:** (Salaries and expenses) FY 81 $122,000; FY 82 est $135,000; and FY 83 est $112,000.

**Range and Average of Financial Assistance:** Commercial coverage up to $15,000; residential up to $10,000; $3,446.

**PROGRAM ACCOMPLISHMENTS:** As of September 30, 1981, 72,782 policies in force; $13 million in premiums income; and $39.2 million in claims incurred during last 12 months.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Revised Quick Reference Rate Tables and Simplified Manual; Crime Insurance Regulations; Brochure: Questions and Answers.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Any local insurance agent, broker, or servicing company may be contacted for information.

**Headquarters Office:** Assistant Administrator, Office of Insurance Operations, Federal Insurance Administration, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0800.

**RELATED PROGRAMS:** 83.101, Urban Property Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.400 EMERGENCY MANAGEMENT INSTITUTE—STUDENT EXPENSE PROGRAM

### (Student Expense Program (SEP))

**FEDERAL AGENCY:** NATIONAL EDUCATION TRAINING CENTER, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** 201(e) Federal Civil Defense Act of 1950, as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920, as amended by Public Law 85-606; Subsection 50 U.S.C. App. 2281; DOD Appropriation Authorization Act, 1977, Section 804, 50 U.S. Appr. 2251, 2260, 2281, 2286, Public Law 94-361; Reorganization Plan No. 1 of 1958 (72 Stat. 1799-1801, CFR 1954-58 Comp. p. 447) E.O. 10952 (3 CFR 1961 Supp. p.117); Reorganization Plan #3 of 1978, by Executive Order 12148, 1979, 44 FR 43239 established the Federal Emergency Management Agency which abolished the Defense Civil Preparedness Agency. Persons wishing additional information regarding this program should call Louis Murphy (301) 447-6771 (6028).

**OBJECTIVES:** To assist in defraying the expenses of professional training for State and local emergency management/Civil Defense personnel and training for instructors who conduct courses under contract.

**TYPES OF ASSISTANCE:** Project Grants; Training.

**USES AND USE RESTRICTIONS:** State (includes territories) and local civil emergency management and civil defense officials can be trained at the Emergency Management Institute, Emmitsburg, Maryland, in emergency management and skills. Reimbursement is made for 100 percent of their travel and on-campus participant quarters are furnished at no charge, but participants are required to pay for meals at the standard prevailing rate of the campus cafeteria, or about eleven dollars daily.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals who need emergency management training and are assigned to an emergency management or civil defense position in State or local government. Home study courses are a prerequisite for attendance at the Institute.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of emergency management position and/or civil defense responsibilities and need for instruction.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant should submit FEMA Form 95-2, application for course and reimbursement to the National Emergency Training Center, Emergency Management Institute, through the Director, State Emergency Management Office and FEMA Regional Offices. Applications must be coordinated by either the local, or State Emergency Management Director.

**Award Procedure:** Emergency Management Institute Registrar approves FEMA Form 95-2. "Training Course Application". State or local Director and Regional Director must also recommend approval.

**Deadlines:** Applicant should submit form sixty (60) days prior to course, as provided in the official course schedule.

**Range of Approval/Disapproval Time:** About 30 days.

**Appeals:** By letter to region through State office; FEMA Associate Director for Training and Education decides appeal.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Emergency Management Institute reimburses State and local participants for 100 percent of their travel, furnishes on campus participant quarters at no charge, but requires participant payment for meals at the standard prevailing rate of the campus cafeteria, or about eleven dollars daily. Participants from Federal agencies will have travel and per diem supplied by their agencies. Lodging will be furnished to Federal participants at no charge.

**Length and Time Phasing of Assistance:** Assistance is granted within same fiscal year course is approved. Range: 18 to 64 hours per course. Grant for student expense is disbursed on lump-sum basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Grants) FY 81 $50,000; FY 82 $100,000; and FY 83 est $400,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, it is expected that 2,000 non-Federal students will attend the FEMA Emergency Management Institute. It is estimated that in fiscal year 1983, 3,000 students will attend the Emergency Management Institute.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 32 CFR 1809; TD-4, FEMA Training and Education Publications List, MP-55, "FEMA Catalog of Resident and Field Training Activities" CPG 1-3, "Federal Assistance Handbook" (no charge): Literature may be obtained from State or Regional Emergency Management Directors.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for FEMA Regional Offices.

**Headquarters Office:** Fred J. Villella, Associate Director for Training and Education, Federal Emergency Management Agency, National Emergency Training Center, Emmitsburg, MD 21727. Telephone: (301) 447-6771 (6119).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Emergency management professional development for State or local government, emergency management personnel: Phase III - Coordinator's personal effectiveness; Phase IV - Emergency preparedness in national security, graduate seminar.

**CRITERIA FOR SELECTING PROPOSALS:** Individuals assigned to an emergency or civil defense management position in State and local governments must be recommended by the State or local government for training. Emergency Management Directors and Civil Defense personnel will receive priority for training. Applicants will receive home study courses as a prerequisite to attendance at the Emergency Management Institute.

## 83.401 EMERGENCY MANAGEMENT—ARCHITECT/ENGINEER STUDENT DEVELOPMENT

**FEDERAL AGENCY:** NATIONAL EDUCATION TRAINING CENTER, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, as amended 50 U.S.C. App. 2251-2297, Public Law 81-920 Sec. 201, 50 U.S.C. App. 2281; Reorganization Plan No. 1 of 1958 (72 Stat. 1799-1801, 3 CFR 1954-58 Comp. 447) E.O. 10952 (3 CFR 1961 Supp. p. 117) as amended; DOD Appropriation Authorization Act, 1977, Sec. 804, 50 U.S.C. App. 2251, 2260, 2281, 2286, Public Law 94-361 (90 Stat. 932). Reorganize Plan No. 3 of 1978, by Executive Order 12148, 1979, 44 FR 43239 established the Federal Emergency Management Agency which abolished the Defense Civil Preparedness Agency. Persons wishing additional information regarding this program should call Nicholas DiTullo, (202) 287-3886 or Fred J. Villella, (301) 447-6771 (6119).

**OBJECTIVES:** To develop capability of architectural or engineering students to survey buildings to determine the degree to which they provide protection against nuclear disaster effects.

**TYPES OF ASSISTANCE:** Training.

**USES AND USE RESTRICTIONS:** Conduct Shelter Survey Technician courses for students of architecture or engineering.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals in the United States (includes territories) applying for enrollment must have completed one year of an architectural or engineering program in a college or technical institute or completed an equivalent correspondence course for architects and engineers.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Statement certifying compliance with eligibility requirements.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Apply at college or technical institute if course is to be given there, or to Staff Director, Survey and Engineering Branch, FEMA, Washington, DC 20472. Telephone: (202) 287-3886.

**Award Procedure:** Applications are reviewed by FEMA; applicants meeting the criteria are notified in writing of scheduled classes or correspondence course.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Contract or other course costs only-salaries are not separately identifiable). FY 81 $98,000; FY 82 $98,000; and FY 83 est $109,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2,000 architect/engineer students received training (includes home-study courses); in fiscal year 1982, approximately 2,500 architect/engineer students will be trained at 19 colleges; and, in fiscal year 1983 approximately 2,500 A/E students will be trained.

**REGULATIONS, GUIDELINES, AND LITERATURE:** SST Summer Hire brochure with card tear-off and HS-2 Parts 1 and 2 SST Correspondence Course.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA Regional Offices.

**Headquarters Office:** Nicholas DiTullo, Survey and Engineering Branch, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-3886.

**RELATED PROGRAMS:** 83.509, National Shelter Survey.

**EXAMPLES OF FUNDED PROJECTS:** The funded projects provide for on-campus Shelter Technician (SST) courses by FEMA certified instructors in schools of architecture and engineering and by SST correspondence courses. Fallout Shelter Analysis Courses, annual EMI conference for instructors qualified to teach Shelter Survey course.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria used for selecting proposals is 25 or more A/E students applying for the SST course and a FEMA certified instructor available for teaching the on-campus course. In addition, each proposal is reviewed for effectiveness of cost vs. number of students. Lowest cost/student ratios are awarded contracts. Priority is given to proposals in geographic areas of scheduled survey activity for the following summer.

## 83.402 RADIOLOGICAL EMERGENCY RESPONSE—TRAINING ASSISTANCE

**FEDERAL AGENCY:** NATIONAL EDUCATION TRAINING CENTER, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Atomic Energy Act of 1954, as amended, Energy Reorganization Act of 1974, Executive Orders 11051 and 11490. Reorganization Plan No 3, 1978.

**OBJECTIVES:** To assist State and local governments develop and maintain radiological emergency response plans and preparedness in support of fixed nuclear facilities and transportation involving radioactive materials.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:** Training is provided at no cost to personnel of State and local governments who are responsible for planning for, and responding to, emergencies involving radioactive materials, especially those involving nuclear power facilities. Courses are provided in planning and operational response.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State or local government personnel who are, or will be, responsible for developing radiological emergency response plans and who are, or will be, responsible for responding to accidents involving radioactive materials. Applicants must be nominated by either the State Director of Radiological Health or the State Director of Emergency Management or Emergency Services.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** In some cases, written documentation of the applicant's eligibility is required.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Verbal request; some training courses require written follow-up confirming applicant's eligibility.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** One week to one month.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Course costs; travel and per diem expenses) FY 81 $150,000; FY 82 $100,000; and FY 83 est $100,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were approximately 810 State and local government personnel who participated in 24 training courses in both planning and operations. The level of participation for fiscal years 1981 and 1982 is estimated to be about 24 training programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Register Notice "Radiological Incident Emergency Response Planning: Fixed Facilities and Transportation" of December 24, 1975, pages 59494 - 59495.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Associate Director, Training and Education, Federal Emergency Management Agency, National Emergency Training Center, Emmitsburg, Maryland 21727.

**RELATED PROGRAMS:** 77.001, Radiation Control—Training Assistance and Advisory Counseling.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.403 TRAINING AND EDUCATION FIELD DEPLOYMENT

### (Regional Support Contracts (RSC)/State Cooperative Agreements (SCA))

**FEDERAL AGENCY:** NATIONAL EDUCATION TRAINING CENTER, FEDERAL EMERGENCY MANAGEMENT AGENCY.

**AUTHORIZATION:** 201(e) Federal Civil Defense Act of 1950, as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920, as amended by Public Law 85-606; Subsection 50 U.S.C. App. 2281; DOD Appropriation Authorization Act, 1977 Section 804, 50 U.S. Appr. 2251, 2260, 2281, 2286, Public Law 94-361; Reorganization Plan No. 1 of 1958 (72 Stat. 1799-1801, CFR 1954-58 Comp. p. 447) E.O. 10952 (3 CFR 1961 Supp. p. 117). Reorganization Plan No. 3 of 1978 by Executive Order 12148, 1979, FR 43239 established the Federal Emergency Management Agency which abolished the Defense Civil Preparedness Agency.

**OBJECTIVES:** Regional Support Contacts (RSC): To provide the Regions with instructional capability for the training of FEMA support staffs (e.g., disaster hires), regional staffs of Federal agencies, and elected State/local government staffs (e.g., professional development training that is essentially interstate in nature). State Cooperative Agreements (SCA): To provide FEMA support to State based training programs. This will include training that the States must agree to conduct and optional training necessary for State/local emergency management/civil defense programs.

**TYPES OF ASSISTANCE:** Formula Grants; Project Grants; Training.

**USES AND USE RESTRICTIONS:** Participant expenses are shared on a 75-25 basis with FEMA providing the larger share. In fiscal year 1982, these costs will be shared on a 75-25 basis with FEMA providing the larger share. In fiscal year 1983, funding is to be shared 50-50. Instructor and material costs are allowable expenses under the agreement except that no full time instructors are to be employed. The Emergency Management Assistance (EMA) program provides a 50-50 match for full or part-time Training and Education staffs. FEMA training materials will continue to be provided at no cost.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals who need emergency management training, as described under the objectives, and are assigned to an emergency management position in State or local government.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification of emergency management position and need for instruction.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applicant should submit FEMA Form 95-2, which is the application for course and reimbursement to the appropriate officials at local, State, or Regions.

**Award Procedure:** Approved FEMA Form 95-2.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** One week to one month.

**Appeals:** Not Applicable.

**Renewals:** Not Applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** For RSC's and SCA's: Fixed amount. One-Third of Training and Education monies each SCA's - Variable amount: Based on the number of States, population, number of flood prone communities, number of disaster declarations since 1974, number of disaster requests, and a nuclear civil protection complexity factor. For matching requirements see USES AND USE RESTRICTIONS.

**Length and Time Phasing of Assistance:** RSC: Negotiated on a multiyear basis. SCA: Negotiated annually with all States willing to enter into them.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Training and Education Quarterly Report, FEMA Form 95-4 and the State Training and Education Plan, FEMA Form 95-5.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Grants) FY 81 $3,700,000; FY 82 est $4,200,000; and FY 83 est $4,400,000.

**Range and Average of Financial Assistance:** $203 to $816, $170,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 84,124 students received training in 2,466 courses; in fiscal year 1982, approximately 100,000 students will receive training in about 3,000 courses; and in fiscal year 1983, approximately 100,000 students will be trained in about 3,000 courses.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Register, January 1981, p. 1270, FEMA pp. 360-44-C, Statement of Training and Education Requirements, FEMA TD-1, March 1981.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See FEMA Regional Directory.

**Headquarters Office:** Fred J. Villella, Associate Director for Training and Education, Federal Emergency Management Agency, National Emergency Training Center, Emmitsburg, MD 21727.

**RELATED PROGRAMS:** 83.400, Emergency Management Institute; 83.401, Emergency Management—Architect/Engineer Student Development; 83.402, Radiological Emergency Response—Training Assistance.

**EXAMPLES OF FUNDED PROJECTS:** Participants in the Professional Development Program for Emergency Management Coordinators; Radiological Defense Officer training, Public Officials training, Hazard Mitigation and Disaster Recovery Training.

**CRITERIA FOR SELECTING PROPOSALS:** Courses are a minimum of at least three (3) full days of instruction; instructor fees not to exceed the accepted adult education rate in the State; student and instructor travel and per diem; classroom space, reasonable instructor/student training materials. Training and Education plan feasibility and cost effectiveness, extent to which plans of instruction meet Agency standards and requirements.

## 83.404 ACADEMY PLANNING ASSISTANCE

**FEDERAL AGENCY:** NATIONAL EDUCATION TRAINING CENTERS, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Section 7(f) of the Federal Fire Prevention and Control Act of 1974; Public Law 93-498; 15 U.S.C. 2201-2219; Reorganization Plan No. 3, 1978.

**OBJECTIVES:** To assist States in the development of training and education in the fire prevention and control area.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used only for development of statewide organizational designs or statewide fire education and training plans.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States, District of Columbia, Commonwealth of Puerto Rico, territories and possessions of the U. S. are eligible to apply.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Completion of statewide organizational design required to apply for statewide fire education and training plan grant. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Complete Standard Form 424 (10-75).

**Award Procedure:** Reviewed by appropriate program, administrative and legal staffs. Final approval resides with the Associate Director, National Emergency Training Center.

**Deadlines:** A deadline is specified each time the announcement is made that applications are being accepted.

**Range of Approval/Disapproval Time:** 60 days.

**Appeals:** Rework time available with no guarantee that funds will be available upon reapplication.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Grants are awarded for period of one year. Grant payments are made quarterly.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Periodic written reports or other evaluation technique will be required.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to insure that funds have been applied efficiently, economically and effectively.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Grants) FY 81 $13,000; FY 82 $75,000; and FY 83 est $100,000.

**Range and Average of Financial Assistance:** Statewide organizational design average $10,000; statewide fire education and training plan average $25,000.

PROGRAM ACCOMPLISHMENTS: A total of 46 States have participated in APAP since the pilot year in fiscal year 1976. This represents 37 Organizational Design grants and 14 statewide plans.

REGULATIONS, GUIDELINES, AND LITERATURE: "Academy Planning Assistance Program Guildelines" pamphlet.

INFORMATION CONTACTS:

**Regional or Local Office:** National Emergency Training Center, Academy Planning Assistance Program, Field Programs Division, National Fire Academy, 16825 S. Seton Avenue, Emmitsburg, MD 21727. Telephone: (301) 447-6771.

**Headquarters Office:** Associate Director for Training and Education, Federal Emergency Management Agency, 16825 S. Seton Avenue, Emmitsburg, Md. 21727. Telephone: (301) 447-6771.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: Not presently available.

CRITERIA FOR SELECTING PROPOSALS: Competitive scoring with program evaluation instrument.

## 83.405 STUDENT STIPEND PROGRAM

FEDERAL AGENCY: NATIONAL EDUCATION TRAINING CENTER, FEDERAL EMERGENCY MANAGEMENT AGENCY

AUTHORIZATION: The Federal Fire Prevention and Control Act of 1974, Section (7)(i); Public Law 93-498.

OBJECTIVES: To provide stipends to students attending Academy courses and programs.

TYPES OF ASSISTANCE: Direct Payments for Specified Use.

USES AND USE RESTRICTIONS: Reimbursement of up to 75 percent of the expense of attendance. Presently, the program covers reimbursement of airfare or use of privately owned vehicle for attendance at the Academy Resident Program courses and free lodging. Students are required to pay the cost of meals which is about $11.00 daily. Reimbursement cannot be made to Federal employees who are attending on behalf of their employer.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Any student other than a Federal employee who is a member of a fire department or has significant responsibility for fire prevention and control and has been accepted into a course may apply for stipend reimbursement.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Application is made to the Student Services Section of the National Emergency Training Center using the Student Stipend Contract (FEMA Form 75-3) after acceptance into the course. The Student Stipend Contract must be accompanied by a copy of the airline ticket or a statement of the one-way mileage and the odometer readings. The completed contract package will be processed immediately.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** None.

**Audits:** None.

**Records:** None.

FINANCIAL INFORMATION:

**Account Identification:** 58-0201-0-1-453.

**Obligations:** (Direct payments) FY 81 $1,200,000; FY 82 $1,400,000; and FY 83 est $1,500,000.

**Range and Average of Financial Assistance:** Average stipend per accepted student is $285.

PROGRAM ACCOMPLISHMENTS: Students are provided an opportunity to attend courses at the National Fire Academy resident facility with a minimal cost to the individual or the fire department represented. The increase in the number of students attending impacts on increasing the professional level of fire service personnel.

REGULATIONS, GUIDELINES, AND LITERATURE: Resident Program Course Brochure.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** National Emergency Training Center, National Fire Academy, Student Services Section, 16825 S. Seton Avenue, Emmitsburg, MD 21727. Telephone: In Maryland (301) 447-6771, in Washington, DC Metropolitan area (202) 428-3591, and in the remainder of the United States (800) 638-9600 or 638-9601.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: During fiscal year 1981, 3,206 stipends were processed.

CRITERIA FOR SELECTING PROPOSALS: Acceptance into the course.

## 83.500 GENERAL RESEARCH, DEVELOPMENT, AND DEMONSTRATION ACTIVITY

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** The Federal Fire Prevention and Control Act of 1974; Public Law 93-498; the Federal Civil Defense Act of 1950 as amended; Public Law 81-920 as amended; Public Laws 95-606 and 96-342.

**OBJECTIVES:** To carry out basic and applied research and demonstration projects of high priority, usually preselected by the Agency to serve the needs of the Emergency Management Community and to improve and guide the Operation of Agency Programs.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Funds are principally awarded to competitively solicited projects planned to respond to emergency management type situations. Projects relating to: fire control and suppression; earthquake mitigation and response; crisis relocation planning; mobilization planning; and fire blast techniques are examples of areas eligible for award of grants and cooperative agreements. UNSOLICITED PROPOSALS: Unsolicited proposals are reviewed in accordance with 41 CFR 44-44-4.9 but because there are no undesignated funds, relatively few can be funded, and only by displacing an already planned project. Cost-sharing is required. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular A-111, but jointly funded projects seldom arise because coordination with preplanned research is difficult, and because there are no undesignated funds in the program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, U.S. Territories, Native Americans, institutions of higher education, hospitals, other nonprofit organizations, individuals and profit making organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Capacity and capability of applicant to carry out the project.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Contact the Acquisition Management Division for information on competitive solicitations or unsolicited proposals. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Response to requests for applications issued by the Acquisition Management Division is the normal method. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Award amount and project objectives will be negotiated on individual basis.

**Deadlines:** As specified in the solicitation.

**Range of Approval/Disapproval Time:** 30-90 days for Unsolicitated Proposals. As specified in the solicitation for all others.

**Appeals:** Director, Acquisition Management Divisions.

**Renewals:** As provided in the specific agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Unsolicited Proposals resulting in an award are required to be cost shared.

**Length and Time Phasing of Assistance:** As specified in the agreement.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As specified in the agreement and in accordance with OMB Circulars A-102 and A-110.

**Audits:** As specified in the agreement and in accordance with OMB Circulars A-102 and A-110.

**Records:** Full and accurate records must be maintained with respect to all matters covered in the agreement.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-1-999.

**Obligations:** All awards are discretionary with instrument selected based on Public Law 95-224. FY 81 est $2,500,000; FY 82 est $2,500,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $500 to $250,000; $25,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 124 awards were estimated. As fiscal year 1981, was the first year for this program no accomplishments have been documented.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 41 CFR Part 13 - Assistance.

**INFORMATION CONTACTS:**

**Regional or Local Office:** All inquiries should be directed to the Headquarters Office.

**Headquarters Office:** Director, Acquisition Management Division, Federal Emergency Management Agency, 500 C Street, SW, Room 728, Washington, DC 20472.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.501 STATE ASSISTANCE PROGRAM

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** The National Flood Insurance Act of 1968 and the Flood Disaster Protection Act of 1973, 42 U.S.C. 4001 et seq.; Reorganization Plan No. 3 of 1978, 43 FR 41943; Executive Order 12127, effective April 1, 1979, 44 FR 19367.

**OBJECTIVES:** To facilitate each State's achievement of a level of expertise in flood hazard management which will enable the State to provide assistance to its constituent communities in discharging local flood hazard management responsibilities.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** The State Assistance Program is designed for all States which submit acceptable applications regardless of their present level of involvement or degree of expertise in flood hazard management activities. It allows each State the flexibility necessary to develop an application to accommodate the unique characteristics of the State and its communities, and to undertake an appropriate level of effort. The Program has been designed around three incremental Program Elements: Assessment, General Assistance and Public Information, and Community Services. The State chooses objectives and tasks from the Program Elements that are consistent with its demonstrated capability and develops a project designed to provide the requisite foundation for progression towards elements requiring higher capabilities. All projects should be oriented toward State and local activities. They should in no way analyze or recommend changes to the National Flood Insurance Program or its products; no funds should be spent to evaluate the hydrology or hydraulics of any Flood Insurance Study. Public works, facilities and site or other improvements are generally ineligible to be acquired, constructed, reconstructed, rehabilitated or installed. The purchase of equipment is generally ineligible. Each State's application for the target amount of funding may also contain a supplemental project proposing innovative tasks to be funded from a separate fund.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States (includes the District of Columbia, Guam, Puerto Rico, and the Virgin Islands).

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and area-wide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (Revised). Assistance is available from the appropriate FEMA Regional Office to aid in the preparation of the preapplication. An informal preapplication conference is recommended.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Each State shall submit the application to its respective Federal Emergency Management Agency Regional Office in accordance with the instructions provided in the Request for Application.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Final approval of applications will be made by FEMA.

**Deadlines:** Contact the appropriate Federal Emergency Management Agency Regional Office for deadline on submissions.

**Range of Approval/Disapproval Time:** 30 to 90 days.

**Appeals:** Not applicable.

**Renewals:** Not Applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Reference 44 CFR Part 76.2(b)(1) and (2). This program has no statutory formula. An apportionment formula has been developed to target an equitable share of the program's funds annually to each State interested in assistance. The four factors used to derive the formula include: (1) Population in Special Flood Hazard Areas - reflects the relative magnitude of lives risked from flooding in each State (FEMA records, 1981); (2) Number of Communities Participating in the Regular Program - reflects the relative priorities established by FEMA Regional Offices for flood hazard risk mapping purposes in each State (FEMA records, 1981); (3) Total Increases in Households - reflects relative increase in flood risks due to development pressure in each State (FEMA records, 1981); (4) Flood Damage by Flood Insurance Claims - reflects the relative historical flood damage sustained by States (FEMA records, 1981). The four factors are weighted equally. Application of this formula established a maximum amount of money available per State per year under the target State Assistance Program funding. This program has had no matching requirements. Beginning in fiscal year 1983, funding will be based upon 75 percent Federal funds and 25 percent State funds.

**Length and Time Phasing of Assistance:** Assistance is provided each fiscal year for a project period not to exceed 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress and expenditure reports are required on a quarterly basis. Special problems reports as needed.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular Nos. A-73 and A-87 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:** All records pertinent to a grant (cooperative agreement) shall be retained in accordance with OMB Circular No. A-102 Attachment C.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0201-0-3-451.

**Obligations:** (Grants) FY 81 $4,466,219; FY 82 $4,393,682; and FY 83 est $3,000,000.

**Range and Average of Financial Assistance:** FY 80 $50,000 to $200,000. FY 81 $50,000 to $200,000.

**PROGRAM ACCOMPLISHMENTS:** Entered into 49 cooperative agreements with States and territories in fiscal year 1981.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 44 CFR 76 (Published at 45 FR 32689).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate Federal Emergency Management Agency Regional Office. See Appendix IV of the Catalog for list of addresses.

**Headquarters Office:** Emergency Management Programs Office, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-3850. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 83.100, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Developing and recommending State flood hazard mitigation legislation, policies, and programs; development of a dissemination system for flood hazard information; strategies for enhancing public awareness of flood hazards; implementing a flood plain management technical assistance program for communities; preparing a guide to assist communities in determining minimum first floor elevations in the absence of Flood Insurance Studies; publishing a National Flood Insurance Program guidebook for local administrators.

**CRITERIA FOR SELECTING PROPOSALS:** All State applications will be evaluated for consistency with State Assistance Program objectives and project feasibility. In addition, evidence of successful completion of previous efforts shall be considered.

## 83.502 ACQUISITION OF FLOOD-DAMAGED STRUCTURES

### (Section 1362)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** The National Flood Insurance Act of 1968 and the Flood Disaster Protection Act of 1973, 42 U.S.C. 4001 et seq.; Reorganization Plan No. 3 of 1978, 43 FR 41943; Executive Order 12127, effective April 1, 1979, 44 FR 19367.

**OBJECTIVES:** To reduce future flood insurance and disaster assistance costs by providing an opportunity for repetitively and substantially damaged structures of policyholders to be permanently removed from flood risk areas, thus reducing risk of life from flooding and complementing Federal, State, and local efforts by restoring flood plains, protecting the environment, and providing recreational and open space resources.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** The Section 1362 Program is designed to provide an opportunity for owners of repetitively and substantially damaged structures, covered by flood insurance under the National Flood Insurance Program to be permanently removed from flood risk areas. The improved real property will only be acquired through voluntary sale and not through eminent domain or condemnation proceeding. Thus, no property owners will be required to sell their properties under Section 1362. Subsequent use will be for open space and not for any purpose involving a construction project. The community in which the improved real property is located must be willing to accept title to the acquired real property for land management and restrict its use to open space use or similar purposes. The community shall join in the execution of the deed which will recite such use restrictions that will run with the land, accompanying the property in perpetuity, even if title is subsequently transferred by the community. Any improvements on the real property shall be demolished, transferred to the former owner for relocation to a site outside of any flood risk area, or sold for salvage value, as appropriate and agreed upon between the community and the Federal Government.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Three general conditions must be met for real property to be considered eligible for acquisition under Section 1362: (1) the property must be located in a flood risk area, as determined by FEMA; (2) the property must be covered by flood insurance under the NFIP; and (3) the property must meet any one of the following damage criteria: (i) property that has been damaged "substantially beyond repair by flood" while covered under the NFIP; (ii) property that has incurred significant flood damage on not less than three previous occasions while covered under the NFIP under a five year period and on each occasion the cost of repair, on the average, was at least 25 percent of the value of the structure; or (iii) property, while covered under the NFIP, that has subtained damage from a "single casualty of any nature" so that a statute, ordinance or regulation precludes its repair or restoration or permits repair or restoration only at significantly increased cost.

**Beneficiary Eligibility:** Community - must agree to accept title and manage, according to deed restrictions, etc.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Letter from community to Regional Director of FEMA following a flood expressing interest, preparation of pre-application for Headquarters review.

**Application Procedure:** When a pre-application is approved, the Regional Director, in consultation with the community, will prepare a full recommendation package. The package will consist of property profiles, candidate interviews, community agreement, environmental assessment and project justification data.

**Award Procedure:** FEMA reviews the recommendation package and, if complete, designates the community as eligible. The community is informed of its eligibility, and notice is published in the Federal Register. Public meetings of FEMA staff, community officials, and property owners are then held in the community to discuss the details of the Section 1362 Program.

**Deadlines:** Contact the appropriate Federal Emergency Management Agency Regional Office for deadlines on submissions.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Regional Office monitoring to establish that communities do not violate deed restrictions.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-4235-0-3-451.

**Obligations:** (Fee Simple Purchases) FY 81 $3,700,000; FY 82 est $1,600,000; and FY 83 $4,770,000.

**Range and Average of Financial Assistance:** FY 81 Range $3,000 - $100,000/property; FY 80 Average - $50,000/property.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, FEMA acquired a total of 87 properties in Phoenix, AZ; Lake Elsimore and San Bernardine, CA; Belmont County, OH; Hull and Scituate, MA; Jackson, MS; Lodi NJ; Hamilton, WA; Peoria, IL; and Lost Creek, WV.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 44 CFR Part 77.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the appropriate Federal Emergency Agency Regional Office. See Appendix IV of the Catalog for list of addresses.

**Headquarters Office:** Office of Disaster Assistance Programs, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0520. (Use same 7-digit number for FTS.)

**RELATED PROGRAMS:** 83.100, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.503 EMERGENCY MANAGEMENT ASSISTANCE

### (Emergency Management Assistance for State and Local Governments)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, as amended, 50 U.S.C. App. 2251-2297 Public Law 81-920, as amended by Public Laws 85-606, 96-342; and 97-86; Sec. 205, Section 207, and Title 5; Reorganziation Plan No. 3 of 1978 (43 FR 41943); Executive Order 12127 dated March 31, 1979 (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To develop effective civil defense organizations in the States and their political subdivisions in order to plan for and coordinate emergency activities in the event of attack or natural disaster.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Payment of salaries and benefits of State and local civil defense employees, along with administrative expenses, including travel. Funds may be used for natural disaster preparedness and response if that use "is consistent with, contributes to and does not detract from attack-related civil defense preparedness" (Sec. 207).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States (includes U.S. territories and interstate civil defense authorities). Local governments participate under the State's application. There must be a civil defense organization established pursuant to law, an emergency operational plan approved by the Federal Emergency Management Agency (local plans are approved as part of the State Plan), a Federal Emergency Management Agency approved State Administrative Plan and a program paper. Personnel administering the civil defense program must be under an approved merit system.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The requirements stated above must be documented. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Plan deadline 60 days following notice of allocation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** The standard application forms as furnished by the Federal agency must be filled out by the State and participating political subdivisions; the State submits the application to the FEMA regional office as part of State's annual submission within 60 days after formal notification of the State's official allocation.

**Award Procedure:** FEMA informs each State of its EMA allocation; States notify participating localities of sub allocations each State CD Agency has made within each State. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** On or following October 1, and after receipt of Congressional appropriation, a formal allocation will be made to the States. State has 60 days following notification of its formal allocation to submit an approvable annual submission.

**Range of Approval/Disapproval Time:** 60 days from date State is notified of its official allocation.

**Appeals:** An appeal must be forwarded, through the FEMA Regional Director, within 10 days following receipt of the notice of disapproval. It will be submitted by formal letter, in quadruplicate, signed by the properly authorized State official.

**Renewals:** Renewals are possible and are processed as a new application for each Federal fiscal year. However, basic information need only be updated as necessary to reflect the current situation. Annual submissions for participation are based upon the allocation for the year for which funds are being requested.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Regulations governing allocations to the States shall give due regard to (1) the criticality of the risk and host areas, and "areas that may be affected by natural disaster" (amendment by Public Law 97-86). (2) the relative state of development of civil defense readiness in the State; (3) population; and, (4) such other factors as the Director shall prescribe. Funding is based on 50 percent Federal funds and 50 percent State or local funds. Statistical factors used for fund allocation are (1) risk area popluation of States from the source TR-82 High Risk Areas: Civil Defense Civil preparedness (2) host area popluation of the States from the source Regional planners supply geographical areas; 1970 Census; (3) popluation, 1970 from the source Decennial Census, Census Bureau; (4) complexity factor from the source administrative records. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Assistance is for the Federal fiscal year - October 1 to September 30, and is renewed each fiscal year upon proper reapplication by States and local political subdivisions. Assistance is disbursed on a letter of credit basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** FEMA regional officials make regular visits to State and local participants; financial and performance reports must be submitted as required by OMB Circular No. A-102.

**Audits:** Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant program, including time and attendance, inventory, and procurement records must be kept for 3 years following submission of the annual expenditure report. Records for nonexpendable property acquired with the assistance of Federal funds shall be retained for 3 years following its disposition.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Grants) FY 81 $37,080,000; FY 82 $37,112,085; and FY 83 est $43,940,000.

**Range and Average of Financial Assistance:** $343 to $3,473,700; $636,363.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, Federal matching funds were provided for nearly 6,000 positions in all States and in approximately 2,500 political subdivisions. All fifty States, Puerto Rico, American Samoa, Guam, Virgin Islands, Northern Mariana Islands and the District of Columbia participate in this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 44 CFR 302; February 1982 Interim revision of Chapter 2, "Emergency Management Assistance," of CPG 1-3, Federal Assistance Handbook; (no charge); Literature may be obtained from local or State Civil Defense Directors.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA regional offices. Persons are encouraged to communicate with their local or State Civil Defense Director.

**Headquarters Office:** Marilyn Barton, Emergency Management Programs Office, State and Local Programs and Support Directorate, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-3850. (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 83.501, State Assistance Program; 83.504, State and Local Maintenance and Services; 83.505, State Disaster Preparedness Grants; 83.512, State and Local Emergency Operating Centers; 83.513, State and Local Supporting Materials.

**EXAMPLES OF FUNDED PROJECTS:** (1) Salaries and wages of civil defense employees; (2) Payment for special services of consultants; (3) Payment for vacations, sick leave, terminal leave, etc; (4) Employee benefits, e.g., social security, health insurance, etc; (5) Transportation and per diem allowances for official travel; (6) Cost of day-to-day administrative services, supplies and equipment for the civil defense program including rent, repair and alteration of administrative space.

**CRITERIA FOR SELECTING PROPOSALS:** Each State (includes territories and interstate civil defense authorities) which has a FEMA approved civil defense administrative plan (a one-time submission, updated to reflect changes in the State's system) is notified of its annual (Federal fiscal year) funding as determined under a formula prescribed by Federal law and regulation. Within 60 days of such notice the State must make its annual submission identifying local government participants, the civil defense activities to be pursued, and the State and local civil defense staffing patterns. To the extent a State's annual submission fails to demonstrate a civil defense need for its allocation, the Federal funds may be reallocated among other States.

## 83.504 STATE AND LOCAL MAINTENANCE AND SERVICES

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920, as amended by Public Law 85-606 and by Public Law 96-342, sec. 205 50 U.S.C. App. 2286 and Title 5; Reorganization Plan No. 3 of 1978; (43 FR 41943); Executive Order 12127 dated March 31, 1979 (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To maintain the civil defense readiness of State and local governments by furnishing matching funds for annual recurring and maintenance costs for State and local civil defense direction and control and alerting and warning systems required to conduct a viable civil defense program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** This mainly provides for annual recurring and maintenance and replacement costs of State and local civil defense direction and control communications equipment within or connected to Emergency Operation Centers and warning systems and maintenance of Emergency Operating Centers. All activities and expenditures must be for civil defense purposes only. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult with the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State (includes U.S. territories) or State and political subdivision (city, county, township, etc.) jointly. There must be a civil defense organization established pursuant to law; an emergency operational plan approved by the Federal Emergency Management Agency (local plans are approved as a part of the State plan); a Federal Emergency Management Agency approved program paper. Local civil defense applications must be transmitted through the appropriate State civil defense organization.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The requirements must be documented. Project applicants must certify that State or local funds are or will be available before disbursement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Guidance on preparing the application may be obtained from the State civil defense office.

**Application Procedure:** All local applications must be approved by the State as a joint project application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program and submitted to the Regional Director.

**Award Procedure:** Political subdivisions are notified of project application approval through the State. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Must be approved by FEMA in the Federal fiscal year for which funds are appropriated.

**Range of Approval/Disapproval Time:** 15 to 30 days.

**Appeals:** An appeal to the Associate Director, for State and Local Programs and Support, FEMA, is made by formal letter, in triplicate, and signed by the authorized State authority. The signed copies of the project application returned to the State should accompany the letter of appeal. Appeals on items already contracted for should reach the Federal Emergency Management Agency Regional Office at least 30 days before the end of the Federal fiscal year.

**Renewals:** Federal funds for these projects are appropriated for expenditure on an annual basis. Therefore, continuation of the project requires a new application under the same procedures as the original.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent Federal, 50 percent State or local matching.

**Length and Time Phasing of Assistance:** Until project is completed or canceled. All applications carry a completion date. Disbursement is generally made on an "as required" basis with advances possible.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports must be submitted as required by OMB Circular No. A-102.

**Audits:** Federal audits will be made in accordance with the basic policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records supporting documents statistical records and all other records pertinent to the grant project shall be retained as required by OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Grants) FY 81 $1,922,000; FY 82 $2,297,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** $1,000 to $236,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, all 50 States and territories participated in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 44 CFR Part 301; Civil Preparedness Guide, CPG 1-3. Literature may be obtained from local or State Civil Defense Directors.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA Regional Offices. Interested persons are encouraged to communicate with their local or State Civil Defense Director.

**Headquarters Office:** Joseph H. Massa, Communications and Control Branch, SLPS, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-00548.

**RELATED PROGRAMS:** 83.503, Emergency Management Assistance; 83.512, State and Local Emergency Operating Centers; 83.513, State and Local Supporting Materials.

**EXAMPLES OF FUNDED PROJECTS:** (1) Maintenance costs on a warning siren; (2) Rental fee for teletype in an EOC; (3) Repair of malfunctioning EOC communications equipment.

**CRITERIA FOR SELECTING PROPOSALS:** Each project is approvable on its own merits, and priority is normally on a first-come, first-served basis and within program objectives and eligibility requirements outlined in the Catalog.

## 83.505 STATE DISASTER PREPAREDNESS GRANTS

### (Disaster Preparedness Improvement Grants)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Disaster Relief Act of 1974, Public Law 93-288, as amended, Section 201(c) and (d), 42 U.S.C. 5131, 88 Stat. 145; Reorganization Plan No. 3 of 1978, 43 FR 41943; Executive Order 12148, 44 FR 43239; FEMA Regulations 44 CFR Part 300.

**OBJECTIVES:** To assist States in developing and improving State and local Plans, programs, and capabilities for disaster preparedness and prevention.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The Act authorizes two kinds of grants to each State. Section 201(c) provided for one-time "grants, not to exceed in the aggregate ... $250,000 for the development of plans, programs, and capabilities for disaster preparedness and prevention." This "development" grant program has been completed. Section 201(d) provides for "grants not to exceed 50 per centum of the cost of improving, maintaining and updating State disaster assistance plans, except that no such grant shall exceed $25,000 per annum to any State." These "improvement grants" may apply to such preparedness programs and capabilities as: (1) planning for disaster response in general, for specific disaster contingencies in special locales, for local and area mutual emergency support under State sponsorship, for long-range recovery, and for disaster mitigation and hazard reduction; (2) revision, as necessary, of State legislation, implementing orders, regulations, and other authorities and assignments relevant to disaster preparedness and assistance; (3) disaster-related mutual aid compacts and agreements; (4) conduct of vulnerability analyses not otherwise available but necessary for the development of State and local disaster preparedness plans and programs; (5) design of disaster-related emergency systems; (6) training and exercises; (7) program reviews and postdisaster critiques; and (8) public information and education programs. Grant funds may not be used to procure or repair equipment, materials, or facilities except as required for grant administration. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All States are eligible (including District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Trust Territory of the Pacific Islands, and the Commonwealth of the Northern Marianas. Request must be in writing from the Governor or his authorized representative.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A State Work Plan and Annual Budget Information form are required with the formal application. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the State Work Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A preapplication conference with the Regional Office of the Federal Emergency Management Agency (FEMA) is needed to discuss the State Work Plan in draft. The draft should also be reviewed by other State agencies involved or affected. FEMA technical assistance is available for application preparation. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by FEMA and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application to indicate designated State agency to be involved and designated State disaster preparedness coordinator. Application package also to include SF 424 (Application) and Budget Information Form (A-102(revised)Exhibit M-3), State Work Plan, a standard assurances certification of compliance with appropriate legal and administrative requirements, and supporting attachments, including a copy of OMB Circular No. A-95 or other review comments.

**Award Procedure:** The FEMA Regional Director makes final decisions to approve grants to the State. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Notification of awards must be made to the State and relevant areawide Clearinghouses (via SF 424).

**Deadlines:** No deadline for annual improvement grants.

**Range of Approval/Disapproval Time:** Within 60 days of receipt of formal application unless otherwise specified by FEMA in writing.

**Appeals:** Not applicable.

**Renewals:** Mutually acceptable amendments may be made at any time. Improvement grants may be renewed annually, as a new, not an amended, grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent for improvement grant (cash or in-kind contribution by State or local governments); State or local revenue sharing funds may be used, as may, within certain limits, funds of Federal-State Regional Commissions.

**Length and Time Phasing of Assistance:** Improvement grants may be provided on an annual basis. The grant normally will have a one-year duration to be succeeded by a new grant without a break in time. A one-year length is not a requirement, however; nor is continuous funding. There can be a hiatus between grant periods, grants may be for more or less than a year, or grants can overlap, if the State can justify these procedures. Advance funding of the Federal share for the first 90 days may be requested (SF-270). Payments are based on monthly or quarterly billing (SF 270).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly performance reports, a final project report, and such interim reports as may be necessary, to FEMA Regional Director.

**Audits:** State audits are to be made, usually annually, but not less frequently than once every 2 years. The State shall conduct a final audit of each grant. Federal audits will be made only when specifically re[illegible]d by the Regional Director or the Associate Director for [illegible]ns and Preparedness.

**Records:** Records and accounts are to be retained, generally for 3 years, as prescribed by OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0039-0-1-453.

**Obligations:** Improvement Grants: FY 81 $1,018,143; FY 82 est $900,000; and FY 83 est $1,475,000.

**Range and Average of Financial Assistance:** $6,250 to $25,000; average $22,000 for improvement grants. Most grants are for the maximum allowed.

**PROGRAM ACCOMPLISHMENTS:** All States received development grants except the Canal Zone, which declined. Each produced a State emergency plan for disaster assistance (or equivalent) as well as other preparedness measures. Improvement Grants: Fiscal year 1979, 43; fiscal year 1980, 45; fiscal year 1981, 49; fiscal year 1982, 58. The improvement grants have produced a variety of products such as revisions to basic State emergency plans, local basic plans (actual or model), contingency plans, vulnerability analyses and guidebooks on disaster assistance for State and local governments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Disaster Preparedness Assistance Regulations, 44 CFR Part 300; A Guide to the Disaster Preparedness Improvement Grant Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for list of addresses of Federal Emergency Management Agency Regional Offices.

**Headquarters Office:** Sylvia A. Carroll, Emergency Management Programs Office, State and Local Programs and Support, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-3853 (Use same 7 digit Number for FTS).

**RELATED PROGRAMS:** 83.501, State Assistance Program; 83.503, Emergency Management Assistance; 83.506, Earthquake and Hurricane Loss Study and Contingency Planning Grants; 83.516, Disaster Assistance.

**EXAMPLES OF FUNDED PROJECTS:** See Uses and Use Restrictions and Program Accomplishments above. A grant products listing is available upon request.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 83.506 EARTHQUAKE AND HURRICANE LOSS STUDY AND CONTINGENCY PLANNING GRANTS

### (Earthquake and Hurricane Preparedness Plans)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Disaster Relief Act of 1974, Public Law 93-288, as amended, Section 201(a), 42 U.S.C. 5131, 88 Stat. 145; Earthquake Hazards Reduction Act of 1977, Public Law 95-124 and its amendments (Public Law 96-472); Reorganization Plan No. 3 of 1978, 43 FR 41943; Executive Order 12148, 44 FR 43239; FEMA Regulations 44 CFR Part 300.

**OBJECTIVES:** To prepare plans for all levels of government for preparedness capabilities for severe earthquakes or hurricanes in certain high-density, high-risk areas.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** The vulnerability analysis grant may be used for such earthquake-related or hurricane-related programs as research and definition of the hazard area, identification of seismic or storm surge, and design-engineering risks; and postulated impact on the population. Contingency planning grants may be used for development of earthquake-related or hurricane-related program plans for responding to predictions, warnings, events, and recovery activities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State or local governments serving highly populated localities designated as highly vulnerable to earthquake and/or hurricane disasters are eligible. (Grant would usually be to a State--as defined by the Disaster Relief Act of 1974--but could be to a substate jurisdiction, a contract, or to an interstate consortium.) Request must be in writing from the Governor or Governor's authorized representative.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** A State Work Plan and Annual Budget Information form are required with the formal application. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors (or their designated Plan review agencies) must be given an opportunity to review the Work Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A preapplication conference with the Regional Office of the Federal Emergency Management Agency (FEMA) is needed to discuss the State Work Plan in draft. The draft should also be reviewed by other State agencies involved or affected. FEMA technical assistance is available for application preparation. Applications are subject to State and areawide clearinghouses' review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by FEMA and required by OMB Circular No. 102 must be used for this program.

**Application Procedure:** Application to indicate designated State agency to be involved and designated State planning coordinator. Application package also to include SF 424 (Application) and budget Information Form (A-102 (revised) Exhibit M-3), State Work Plan, a standard assurances certification of compliance with appropriate legal and administrative requirements, and supporting attachments, including a copy of OMB Circular No. A-95 or other review comments.

**Award Procedure:** The FEMA Regional Director makes final decisions to approve grants to the State or local governments. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Notification of awards must be made to the State and relevant areawide Clearinghouses (via SF 424).

**Deadlines:** No deadline.

**Range of Approval/Disapproval Time:** Within 45 days of receipt of formal application unless otherwise specified by FEMA in writing.

**Appeals:** Not applicable.

**Renewals:** Mutually acceptable amendments may be made at any time. This is a one-time funding grant and cannot be renewed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This is a 100 percent federally-funded grant. State and local governments are expected to provide supplemental funding as required. Statistical factors used for fund allocation are (1) vulnerability to catastrophic earthquake from the source A Probabilistic Estimate of Maximum Acceleration in Rock in the Contiquous U.S., U.S. Geological Survey (2) vulnerability to devastating hurricane from the source Climatological Data, NOAA, National Weather Service; (3) high population area - density from the source 1970 Census; (4) commitment of State and locality to program i.e., planning support from the source Administrative records. Statistical factors used for eligibility do not apply for this program.

**Length and Time Phasing of Assistance:** Work must be completed within two years of approval of the formal application. Advance funding of the first 90 days may be requested (SF-270). Payments are based on monthly or quarterly billing (SF-270).

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly performance reports, a final project report and such interim reports as may be necessary, to FEMA Regional Director.

**Audits:** State audits are to be made, usually annually. Federal audits will be made only when specifically requested by the Regional Director.

**Records:** Records and accounts are to be retained, generally for 3 years, as prescribed by OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 11-0039-0-1-453.

**Obligations:** (Grants) FY 81 $475,000; FY 82 est $475,000; and FY 83 est $1,558,000.

**Range and Average of Financial Assistance:** (FY 81 and 82) $17,000 to $250,000; average $80,000.

**PROGRAM ACCOMPLISHMENTS:** Earthquake loss studies have been initiated in the San Francisco Bay area, the Boston area, Los Angeles, Puget Sound area, Salt Lake City area, Anchorage, Alaska, Honolulu, Hawaii, and the Mississippi Valley in the Central U.S.; four other studies are projected to complete the loss study effort in 12 high-risk, high-population areas. State and local earthquake contingency plans have been initiated in San Francisco, Los Angeles, Puget Sound, Salt Lake City, Anchorage, and Honolulu. A prototypical earthquake preparedness project is underway in Southern California. The results and products of that project will be transferred to other earthquake prone areas. A prototypical hurricane preparedness project was initiated in fiscal year 1981 in the Tampa Bay, Florida area. Projects in other high risk areas will be initiated over the next several fiscal years.

**REGULATIONS, GUIDELINES, AND LITERATURE:** To be developed.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for list of addresses of Federal Emergency Management Agency Regional Offices.

**Headquarters Office:** Ross MacKay, Natural Hazards Division, State and Local Programs and Support, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0226 (Use same 7-digit number for FTS).

**RELATED PROGRAMS:** 83.505, State Disaster Preparedness Grants; 83.516, Disaster Assistance.

**EXAMPLES OF FUNDED PROJECTS:** See PROGRAM ACCOMPLISHMENTS above.

**CRITERIA FOR SELECTING PROPOSALS:** Identification of an earthquake-prone or hurricane-prone area as high in risk (frequency or severity) and in extent of probable destruction of life and property; State/local commitment for follow-up planning and preparedness activities and capability.

## 83.507 INDUSTRIAL PREPAREDNESS PLANNING

### (Industrial Civil Defense)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, 25 amended, 50 U.S.C. Appropriation 2251-2297; Public Law 81-920 and Public Law 96-342; Section 201 50 U.S.C. App. 2281 and Title 5; Reorganization Plan No. 3 of 1978 (43 FR 41943; Executive Order 12127 dated March 31, 1979 (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To provide technical information, guidance, and assistance to industrial and commercial firms, State and local governments and private facilities, and institutions, in the United States to develop facility plans and to organize with local government for survival from nuclear and other man-made disasters, and natural disasters.

**TYPES OF ASSISTANCE:** Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:** Information can be used in developing civil defense plans and organization of specific facilities such as plants and buildings.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Individuals representing industrial and commercial firms; State and local governments and private facilities, and institutions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Application by letter or telephone to FEMA Planning Development Branch, EMSD, Washington, DC 20472. State Civil Defense Directors also have material.

**Award Procedure:** By mail.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Course costs and other expenses-salaries are not separately identifiable) FY 81 $75,000; FY 82 $75,000; and FY 83 est $75,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, approximately 5,000 copies of publications on industrial preparedness were distributed. Speakers on industrial preparedness appeared at 4 courses sponsored by private and Federal organizations. Plans are being made for a series of Business/Industry Emergency Planning Seminars in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** A wide variety of industrial emergency preparedness publications are available for use in training programs and for general distribution.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA Regional Offices. Persons are encouraged to communicate with their local or State civil defense director.

**Headquarters Office:** Planning Development Branch, EMSD, Washington, DC 20472. Telephone: (202) 287-3838.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Distributed publications on civil defense and other emergency planning for industry/business; developing Business/Industry Emergency Planning Seminars.

**CRITERIA FOR SELECTING PROPOSALS:** No priority. Requests are served in the order in which received.

## 83.508 RADIOLOGICAL SYSTEMS MAINTENANCE

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950; as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920, as amended by Public Law 85-606 and by Public Law 96-342; Subsec. 201(h), 50 U.S.C. App. 2281 and Title 5; Reorganization Plan No. 3 of 1978 (43 FR 41943; Executive Order 12127 dated March 31, 1979 (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To assist in developing a capability in every locality for the detection and measurement of hazardous levels of radiation; to maintain all civil defense radiological instruments in a calibrated and operationally ready condition for both peacetime and wartime radiological emergencies.

**TYPES OF ASSISTANCE:** Project Grants; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Provides for the corrective and preventive maintenance, including recalibration of all civil defense radiological equipment which has been loaned or granted to States or their political subdivisions. For measurement and reporting of hazardous levels of ionizing radiation from nuclear fallout.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Each FEMA region has negotiated a cooperative agreement for this service with each of its State civil defense organizations. Local governments obtain assistance and services from the State Civil Defense Organization. State personnel must be under an approved merit system.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. Funded State personnel positions must be under the State Merit System.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The State submits application Forms to the FEMA regional office within 45 days after date of solicitation. Local governments present defective equipment for service at the State maintenance and calibration facility; written requests for radiological equipment or other assistance should be made directly to State Civil Defense Office.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Must be approved by FEMA in the Federal fiscal year for which funds are appropriated.

**Range of Approval/Disapproval Time:** Renewals are possible and are processed as a new application for each fiscal year based upon past performance and projected plan of operation for the following fiscal year.

**Appeals:** Not applicable.

**Renewals:** Renewals are possible and are processed as a new application for each fiscal year based upon past performances and projected plan of operation for the following fiscal year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Provides for full 100 percent Federal funding of salary, benefits, administrative expenses and travel of State personnel to provide these specialized services. Allocations to the States shall give due regard to (1) the criticality of the risk and host areas; (2) the relative state of development of emergency management (civil defense) readiness in the State; (3) population; and (4) such factors as the Director shall prescribe.

**Length and Time Phasing of Assistance:** Assistance is for the Federal fiscal year - October 1 to September 30, and is renewable each fiscal year upon proper reapplication by States.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** FEMA regional officials make regular visits to the State participant. Financial and performance reports must be sumbitted according to the terms of the contract.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular A-87 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipients system of financial management and internal control to meet the terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records, and other records pertinent to the grant program, including time and attendance, inventory, and procurement records must be kept for 3 years following submission of the annual expenditure report. Records for nonexpendable property acquired with the assistance of Federal funds shall be retained for 3 years following its disposition.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Salaries and expenses) FY 81 $3,504,000; FY 82 est $4,250,000; and FY 83 est $6,250,000.

**Range and Average of Financial Assistance:** $27,000 to $295,000; $83,333.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1981, approximately 42,000 instruments were serviced and recalibrated; 48,000 instruments were retrofitted. During fiscal year 1982, 50,000 instruments are scheduled to be serviced and recalibrated; and 5,000 instruments retrofitted; during year 1983, it is estimated that 82,000 instruments will be serviced and recalibrated; 8,000 instruments will be retrofitted.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Civil Preparedness Guides (CPG) 1-3, Standards for local Civil Preparedness; CPG 1-30, Guide for The Design and development of a local Radiological Defense Support System; CPG 2-6.1, Radiological Defense Preparedness.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for FEMA regional offices. Local governments should contact their State Civil Defense Office.

**Headquarters Office:** Carl R. Siebentritt, Chief, Radiological Defense and Technological Hazards Branch, Population Protection Office, Washington, DC 20472. Telephone: (202) 287-0060.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** FEMA contracts with States (including DC and Puerto Rico) for them to provide maintenance and calibration services on radiation detection and measurement instruments at the State and local government levels.

**CRITERIA FOR SELECTING PROPOSALS:** Contract proposal is reviewed to assure that qualified personnel and other resources are available, and that the cost is appropriate to the work-load. Requests for the instrument maintenance and calibration services handled in the order in which received.

## 83.509 NATIONAL SHELTER SURVEY

### (Shelter Surveys)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920; and by Public Law 96-342; Sec. 201, 50 U.S.C. App. 2281 and Title 5; Reorganization Plan No. 3 of 1978 (43 FR 41943); Executive Order 12127 dated March 31, 1979 (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239). (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To identify shelter in existing buildings and mines, caves, tunnels, etc., sufficient to protect the nation's population from the effect of nuclear weapons.

**TYPES OF ASSISTANCE:** Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** The results of shelter surveys conducted by FEMA are furnished to State and local governments for use in planning for the protection of their citizens in the event of a nuclear emergency.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State (includes territories) and local governments. Areas are selected for survey based upon the availability of survey funds and upon the potential usability of additional shelter in each area.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Municipal governments may request survey action in their communities through State civil defense offices which in turn request action from regional offices of FEMA.

**Award Procedure:** FEMA arranges for conduct of the survey.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Salaries and expense) FY 81 $2,687,000; FY 82 $3,577,000; and FY 83 est $12,060,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** By the end of fiscal year 1981, the Survey will have located potential shelter space for 373,000,000 people in 1,200,000 structures, and that, during fiscal year 1982, an estimated 3,600 facilities will be surveyed for inherent "all effects" nuclear protection shelter in risk areas and an additional 185,000 facilities will be surveyed for congregate care and upgradable fallout shelter in designated crisis relocation host areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for FEMA regional offices. Individual State civil defense offices may be contacted for further information.

**Headquarters Office:** Nicholas Ditullo, Engineering and Survey Branch, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0044.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Buildings, mines, caves, tunnels, etc., are surveyed to determine the degree of protection afforded from the effects of nuclear weapons.

**CRITERIA FOR SELECTING PROPOSALS:** With funding limitations areas for survey are selected on the basis of potential usability and need for additional shelter in the area. States (including territories and interstate civil defense agencies) may request surveys. Priority is based upon degree of need for additional shelter as indicated by civil defense plans.

## 83.510 RADIATION SHIELDING DESIGN

### (Advisory Services)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, as amended, 50 U.S.C. App. 2251-2297, Public Law 81-920 and Public Law 96-342; Sec. 201, 50 U.S.C. App. 2281 and Title 5; Reorganization Plan No. 3 of 1978 (43 FR 41943); Executive Order 12127 dated March 31, 1979 (44 FR 43239). Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To provide technical guidance and assistance to architects involved in the design of new building projects so as to maximize the incorporation of fallout protection features.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Free building design services are not provided. Rather the assistance is used to help the architect understand radiation shielding techniques and incorporate fallout protection, using his own design capability and staff. Advisory services are provided in response to a request from the architect, engineer, or building owner.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any architect or engineer in the United States (includes territories) involved in design of a new building.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By letter or oral request to regional directors. Request may be channelled through local or State Director.

**Award Procedure:** The Advisor notifies applicant when he will be available.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** One to seven days.

**Appeals:** None.

**Renewals:** Request additional advice, as needed.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Duration of design preparation.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** None.

**Records:** None.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Salaries and expenses are not separately identifiable.)

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** No records kept of accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Architects, engineers and building owners desiring this advisory service are encouraged to contact regional directors. See Catalog Appendix IV for FEMA regional offices. State and local directors may also be contacted.

**Headquarters Office:** Nicholas DiTullo, Engineering and Survey Branch, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0044.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Technical advice is provided to architects on radiation shielding and the incorporation of fallout protection in the construction of building. There are no funded projects per se. Technical personnel stationed at the FEMA Regional Offices will provide the desired technical assistance (advisory services) at no cost to the recipient.

**CRITERIA FOR SELECTING PROPOSALS:** No proposals are solicited. Advice is provided in the order of the request.

## 83.511 STATE RADIOLOGICAL DEFENSE OFFICERS

## (RDO's)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Public Law 81-920, Federal Civil Defense Act of 1950, as amended, Section 201 and Title V, Improved Civil Defense Program, as added by Public Law 96-342, Section 502.

**OBJECTIVES:** To develop the operational plans and procedures needed to integrate radiological defense (RADEF) support capabilities required in State and local emergency operation plans. In a crisis period under nuclear attack conditions, the Radiological Defense Officer (RDO) interprets fallout effects and provides technical advice to government leaders in Emergency Operation Centers for their use in directing efforts to help the population survive in a fallout environment.

**TYPES OF ASSISTANCE:** Project Grants; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Provides for the fully funded salary, benefits, travel and indirect costs of a State Radiological Defense Officer in the State Emergency Management (Civil Defense) Agency to accomplish the following three Program Elements: (1) Development of a Statewide RADEF Program Management System for State level management and administration to facilitate planning, organizing, and implementing all the RADEF support capabilities required at State and local levels. (2) RADEF systems development and implementation at the State and local level to a "minimum level" of readiness and to provide for the time phased improvement of these systems to a "fully qualified" level of readiness; (3) RADEF systems maintenance by testing, exercising, and updating systems to maintain an optimum "level of readiness" for nuclear attack.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** In each of the 50 States, the District of Columbia, and Puerto Rico, the State emergency management (civil defense) organization must negotiate a Cooperative Agreement for this service with the respective FEMA regional office. State personnel must be under an approved merit system. Local governments may obtain services from the State emergency management (civil defense) organization.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. The State must furnish with its application a schedule for the establishment of the funded position under the State Merit System in conformance with an appropriate position description and qualification standards approved by FEMA.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not Applicable.

**Application Procedure:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The State submits the application to the FEMA regional office within 45 days after date of solicitation.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Must be approved by FEMA in the fiscal year for which funds are appropriated.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Renewals are possible and are processed as a new application for each fiscal year based upon past performance, and submission and implementation of a 3 year Program Work Plan covering the current and following two fiscal years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** FEMA provides full 100 percent Federal funding. Allocations to the States shall give due regard to (1) the criticality of the risk and host areas; (2) the relative state of development of emergency management (civil defense) readiness in the State; (3) population; and (4) such other factors as the Director shall prescribe.

**Length and Time Phasing of Assistance:** Assistance is for a 12 month period of time, October 1 to September 30, and is renewable each fiscal year upon proper reapplication by State. Renewals will be based upon a full Federal fiscal year period of performance. Assistance may be disbursed by either advance payment, cost reimbursement, or letter of credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** FEMA regional officials make regular visits to the State participant; financial and performance reports must be submitted as required by OMB Circular No. A-102.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-87 to ensure that funds have been applied efficiently, economically and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant program, including time and attendance, inventory, and procurement records must be kept for 3 years following submission of the annual expenditure report. Records for nonexpendable property acquired with the assistance of Federal funds shall be retained for 3 years following its dispostion.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Provision of Specialized Services) FY 81 est $555,000 (36 counterforce States); FY 82 est $1,520,000 (50 States, DC, Puerto Rico); and FY 83 est $9,000,000 (52 States Radiological Defense Officers plus 202 State-area Radiological Defense Officers.)

**Range and Average of Financial Assistance:** $17,800 to $59,000; $29,231 (average 7 month funding period for new Radiological Defense Officers and 12 month funding period for Radiological Defense Officers in countertransference States.)

**PROGRAM ACCOMPLISHMENTS:** New program initiated in fiscal year 1981, in countertransference States and in remaining States in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Civil Preparedness Guides (CPG): CPG 1-5, Standards for Local Civil Preparedness; CPG 1-30, Guide for the Design and Development of Local Radiological Defense Support System; CPG 2-6.1, Radiological Defense Preparedness.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA regional offices. Local governments should contact their State Civil Defense Office.

**Headquarters Office:** George C. Meyer, Systems Development Division, Office of Emergency Management Programs, Washington, DC 20472. Telephone: (202) 287-3839.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** (1) Salary of State RDO's (2) Payment for vacations, sick leave, terminal leave, etc.; (3) Employee benefits, e.g., social security, health insurance, etc.; (4) Transportation and per diem allowances for official travel; (5) Indirect costs.

**CRITERIA FOR SELECTING PROPOSALS:** Application for assistance is reviewed to assure that qualified personnel and other resources are available, the cost is appropriate to the work-load, activities address the State's and its communities needs, and reflects the State's capacity to accomplish the tasks. Work is to be accomplished in stages related to the following three Program Elements:

Phase I Development of a statewide RADEF Program Management System; Phase II - Systems Development at the State and local level; and Phase III - Systems Maintenance. All of the work of Phase I must be complete before preceding sequentially with the other two program elements.

## 83.512 STATE AND LOCAL EMERGENCY OPERATING CENTERS (EOC)

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Subsection 201(i); Federal Civil Defense Act of 1950, as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920, as amended by Public Law 85-606 and by Public Law 96-342, subsec. 201(i) 50 U.S.C. App. 2281(i) Reorganization Plan No. 3 of 1978; (43 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To enhance effective, reliable and survivable direction and control capabilities of State and local government.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** This mainly provides for planning, designing and constructing Emergency Operating Centers in States and jurisdictions within the State, including technical and operational equipment and furnishings required for direction and control, and eligible under FEMA standards and criteria set forth in CPG 1-5 and CPG 1-3 respectively.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State (including U.S. territories) or State and political subdivision (city, county, townships, etc.) jointly. There must be a civil defense organization established pursuant to law; an emergency operational plan approved by the Federal Emergency Management Agency (local plans are approved as a part of the State plan); a Federal Emergency Management Agency approved program paper. Local civil defense applications must be transmitted through the appropriate State civil defense organization.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The requirements must be documented. Project applicants must certify that State or local funds are or will be available before disbursement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard preapplication and application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Guidance on preparing the preapplication and application may be obtained from the State civil defense office. An environmental impact statement may be required.

**Application Procedure:** All local applications must be approved by the State as a joint project application. Standard form application (OMB Circular No. A-102) is submitted to the Regional Director.

**Award Procedure:** Political subdivisions are notified of project application through the State. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Must be approved by FEMA in the fiscal year for which funds are appropriated.

**Range of Approval/Disapproval Time:** 15 to 30 days.

**Appeals:** An appeal to the Associate Director for State and Local Programs and Support, FEMA is made by formal letter, in triplicate, and signed by the authorized State authority. The signed copies of the project application returned to the State should accompany the letter of appeal. Appeals on items already contracted for should reach the Federal Emergency Management Agency Regional office at least 30 days before the end of the fiscal year.

**Renewals:** Federal funds for these projects are appropriated for expenditure on an annual basis. Therefore, continuation of the project requires a new application under the same procedures as the original.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent Federal, 50 percent State or local matching.

**Length and Time Phasing of Assistance:** Until project is completed or canceled. All applications carry a completion date. Disbursement is generally made on an "as required" basis with advances possible.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports must be submitted as required by OMB Circular No. A-102.

**Audits:** Federal audits will be made in accordance with the basic policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant project shall be retained as required by OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1-054.

**Obligations:** (Grants) FY 81 $2,867,000; FY 82 est $6,545,000; and FY 83 est $14,868,000.

**Range and Average of Financial Assistance:** Not available.

**PROGRAM ACCOMPLISHMENTS:** Implemented new EOC program. Funded projects in fiscal year 1981, totalling $2,867,000 based on new EOC criteria requiring that projects be funded only if brought up to FEMA minimum standards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 44 CFR Part 301; Civil Preparedness Guide, CPG 1-3. Literature may be obtained from local or State Civil Defense Directors.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA Regional offices. Interested persons are encouraged to communicate with their local or State Civil Defense Director.

**Headquarters Office:** Earl T. Tildon, Communications and Control Branch, Emergency Management Systems Support Division, State and Local Programs and Support, Federal Emergency Management Agency, Washington DC 20472. Telephone: (202) 287-0055.

**RELATED PROGRAMS:** 83.503, Emergency Management Assistance; 83.504, State and Local Maintenance and Services; 83.513, State and Local Supporting Materials.

**EXAMPLES OF FUNDED PROJECTS:** (1) Costs of planning and designing and EOC, including architectural and engineering costs; (2) costs of construction necessary to develop the EOC facility and for equipment to make the EOC operational; (3) costs of equipping a mobile command center for civil defense direction and control use.

**CRITERIA FOR SELECTING PROPOSALS:** Each project is approvable on its own merits based on criteria set forth in CPG 1-3, information and priorities in State EOC Program Development Plans, and FEMA regional and national priorities established in relation to attack risk and to cost benefits within.

## 83.513 STATE AND LOCAL SUPPORTING MATERIALS

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Subsection 201(i); Federal Civil Defense Act of 1950, as amended; 50 U.S.C. App. 2251-2297, Public Law 81 - 920, as amended by Public Law 85-606 and by Public Law 96-342, subsec. 201(i) 50 U.S.C. App. 2281(i); Reorganization Plan No. 3 of 1978; (43 FR 41943); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To maintain the civil defense readiness of State an local governments by furnishing matching funds for the purchase of equipment and supporting materials for State and local civil defense direction and control and alerting and warning systems.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** This provides for matching funds to State and local governments for projects directed toward upgrading State-wide emergency communications and warning systems operational capabilities.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State (includes U.S. Territories) or local governments, such as city, county, township. There must be a civil defense organization established pursuant to law; an emergency operational plan approved by the Federal Emergency Management Agency; a Federal Emergency Management Agency approved program paper.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The requirements must be documented. Project applicants must certify that funds are or will be available before disbursement. Costs will be determined in accordance with OMB Circular A-87 for State governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Guidance on preparing the application may be obtained from the State civil defense office.

**Application Procedure:** Standard Form application (OMB Circular A-102) is submitted to the Regional Directors.

**Award Procedure:** Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Must be approved by FEMA in the fiscal year for which funds are appropriated.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** An appeal to the Associate Director, State and Local Programs and Support, FEMA is made by formal letter, in triplicate, and signed by the authorized State or local authority. The signed copies of the project application returned to the applicant should accompany the letter of appeal. Appeals on items already contracted for should reach the Federal Emergency Management Agency Regional Office at least 30 days before the end of the fiscal year.

**Renewals:** Federal funds for these projects are appropriated for expenditure on an annual basis. Therefore, continuation of the project requires a new application under the same procedures as the original.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** 50 percent Federal, 50 percent State or local government matching.

**Length and Time Phasing of Assistance:** Until project is completed or canceled. All applications must carry a completion date. Disbursement is generally made on an "as required" basis with advances possible.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports must be submitted as required by OMB Circular No. A-102.

**Audits:** Federal audits will be made in accordance with the basic policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to merit the conditions of grants and other agreements.

**Records:** Financial records supporting documented statistical records and all other records pertinent to the grant project shall be retained as required by OMB Circular No. A-102.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0200-0-1054.

**Obligations:** (Grants) FY 81 $1,071,000; FY 82 $3,475,000; and FY 83 est Not available.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** There were 13 demonstration projects funded in fiscal year 1981. Progress to be reported on in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 44 CFR 301; Civil Preparedness Guide, CPG 1-3. Literature may be obtained from State Civil Defense Directors.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for FEMA Regional Offices. Interested persons are encouraged to communicate with their State Civil Defense Director.

**Headquarters Office:** Joseph H. Massa, Communications Management Officer, Communications and Control Branch, State and Local Programs and Support, Federal Emergency Management Agency, Washington, DC 20472. Telephone: (202) 287-0048.

**RELATED PROGRAMS:** 83.503, Emergency Management Assistance; 83.504, State and Local Maintenance and Services; 83.512, State and Local Emergency Operating Centers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Each project application is selected on its own merit as it relates to the enhancement of emergency communications and/or warning at the State and local levels.

## 83.514 NUCLEAR CIVIL PROTECTION PLANNING

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950; as amended; 50 U.S.C. App. 2251-2297, Public Law 81-920, as amended by Public Laws 85-606, 96-342 and 97-86; Subsec. 201(h), Sec. 207 and Title 5; Reorganization Plan No. 3 of 1978 (43 FR 41943; Executive Order 12127 dated March 31, 1979 (44 FR 19347); Executive Order 12148 dated July 20, 1979 (44 FR 43239).

**OBJECTIVES:** To assist States and localities in developing: (1) crisis relocation plans for risk and host areas; and (2) in place protection plans to utilize protection available in existing facilities if time or circumstances preclude implementation of crisis relocation.

**TYPES OF ASSISTANCE:** Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:** Provides funding for salary, benefits, travel and indirect costs for Nuclear Civil Protection planners and assistants. Level of funding is contingent upon the quality and quantity of past performance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States (including U.S. territories) are eligible to participate.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Cost will be determined in accordance with OMB Circular A-87 for State and local governments. Administrative procedures shall follow the guidance contained in OMB Circular A-102.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms specified by OMB Circular A-102 shall be submitted to the FEMA Regional Office in time for fiscal year funding.

**Award Procedure:** FEMA Regional Office will notify the State.

**Deadlines:** Cooperative Agreement run on a yearly basis - October 1 thru September 30. Application should be received in time to allow award by October 1.

**Range of Approval/Disapproval Time:** Approximately 30 days after receipt of application.

**Appeals:** FEMA Regional Director and Associate Director for State and Local Programs and Support.

**Renewals:** Renewals are based upon new application each fiscal year. Amounts are based upon past performance and the projected plan of operation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Provides full 100 percent Federal funding.

**Length and Time Phasing of Assistance:** Assistance is for the Federal fiscal year October 1 - September 30.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports are required in accordance with the provisions of OMB Circular A-102.

**Audits:** Audits are required in accordance with Attachment "P" of OMB Circular A-102.

**Records:** Financial records, supporting documents, statistical records, and other records pertinent to the grant program, including time and attendance, inventory, and procurement records must be kept for 3 years following submission of the annual expenditure report. Records for nonexpendable property acquired with the assistance of Federal funds shall be retained for 3 years following its disposition.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0101-0-1-054.

**Obligations:** (Grants) FY 81 $5,039,000; FY 82 $5,538,000; and FY 83 est $8,060,000.

**Range and Average of Financial Assistance:** Not available yet.

**PROGRAM ACCOMPLISHMENTS:** To differing degrees all States have prepared Nuclear Civil Protection Plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Civil Preparedness Guide CPG 2-8-A-F.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for FEMA regional offices. Local governments should contact their State Civil Defense Office.

**Headquarters Office:** Seymour Wengrovitz, State and Local Programs and Support Directorate, FEMA, Washington, DC 20472. Telephone: (202) 287-3892.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Applications are reviewed to assure that qualified personnel and other resources are available, cost is appropriate, and project meets program objectives.

## 83.515 BROADCAST STATION PROTECTION PROGRAM

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** Federal Civil Defense Act of 1950, as amended; Public Law 81-920; Section 201.

**OBJECTIVES:** To enhance and develop an emergency broadcast capability to provide emergency information and direction to the public by national, State and local officials over commercial broadcast stations.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The program provides for designing, purchase of equipment, and construction necessary for a broadcast station to operate under emergency conditions. Equipment purchased is assigned to and is under the control of the Federal Communications Commission.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Broadcast stations must be a part of the emergency broadcast system.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Contact is made between the appropriate FEMA Regional Office and the broadcast station. If appropriate, a survey of the station is made to determine equipment and construction costs.

**Application Procedure:** An assistance agreement is entered into between the FEMA representative and the station owner/representative.

**Award Procedure:** The award is effective when both parties sign the agreement.

**Deadlines:** Must be approved by FEMA in the fiscal year in which funds are appropriated.

**Range of Approval/Disapproval Time:** 15 to 30 days.

**Appeals:** An appeal is made to the FEMA Associate Director for State and Local Programs and Support, in writing, and signed by the station owner/representative.

**Renewals:** Federal funds for these projects are appropriated for expenditure on an annual basis. Therefore, continuation of the project requires a change to the agreement.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Normally 100 percent Federal funding.

**Length and Time Phasing of Assistance:** Until project is completed or cancelled. The agreement specifies a time in which the project is to be completed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Performance reports submitted as requested.

**Audits:** Federal audits will be made in accordance with the basic policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** Financial records, supporting documents, statistical records, and all other records pertinent to the grant project shall be retained.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0101-0-1-999.

**Obligations:** (Project Grants) FY 81 $1,121,000; FY 82 est $2,046,000; and FY 83 est $7,970,000.

**Range and Average of Financial Assistance:** Range: $25,000 to $75,000; $55,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, there were 38 requests and 9 were approved. In fiscal year 1982, there are 49 requests and 20 are estimated to be approved for a complete package.

**REGULATIONS, GUIDELINES, AND LITERATURE:** TR 34, may be obtained from FEMA Regional Offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for FEMA Regional Office addresses.

**Headquarters Office:** James S. Gilbertson, Emergency Management Officer, State and Local Programs and Support, Washington, DC 20472. Telephone: (202) 287-0052.

**RELATED PROGRAMS:** 83.512, State and Local Emergency Operating Centers.

**EXAMPLES OF FUNDED PROJECTS:** This program provides funds for: Design, construction of a fallout protected room; purchase of electrical generator, fuel tank, programming equipment, remote pickup units, protection from electromagnetic pulse, and installation of equipment.

**CRITERIA FOR SELECTING PROPOSALS:** Each project is approvable on its own merits and priority will be established in relation to attack risk and to cost benefits within.

## 83.516 DISASTER ASSISTANCE

**FEDERAL AGENCY:** STATE AND LOCAL PROGRAMS AND SUPPORT, FEDERAL EMERGENCY MANAGEMENT AGENCY

**AUTHORIZATION:** The Disaster Relief Act of 1974, Public Law 93-288, 42 U.S.C. 5121 et seq., 88 Stat. 143, as amended; the Disaster Relief Act of 1970, Public Law 91-606, 42 U.S.C. 4401 et seq., 84 Stat. 1744, as amended; Executive Order 12148, 44 F.R. 43239; Reorganization Plan No. 3 of 1978, 3 CFR 1978 comp., p. 329; Executive Order 12127, 44 F.R. 19347; Delegations of Authority, 45 F.R. 41421 et seq.

**OBJECTIVES:** To provide assistance to States, local governments, selected private nonprofit facilities, and individuals in alleviating suffering and hardship resulting from emergencies or major disasters declared by the President.

**TYPES OF ASSISTANCE:** Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Public Assistance in the form of grants, contributions and specialized services may be made available to States, local governments and eligible private nonprofit facilities as follows: (1) grants to States for the suppression of forest and grassland fires which threaten to become major disasters; (2) Post-disaster assistance including repair, restoration or replacement of damaged/destroyed public and certain private nonprofit facilities; (3) Removal of wreckage and debris; (4) Performance of essential emergency protective work on public and private lands; (5) Loans to local governments suffering substantial loss of tax and other revenue; (6) Emergency transportation assistance; (7) Emergency communications, (8) survey and allocation of construction materials. Individual Assistance for individuals and families adversely affected by declared disasters or emergencies may be provided as follows: (1) Emergency shelter and temporary housing; (2) Assistance to the unemployed; (3) Crisis counseling; (4) Individual and Family Grants for disaster-related expense, limited home repair and other serious needs, (5) Legal services.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments in declared emergency or major disaster areas, owners of selected private nonprofit facilities, and individual disaster victims.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Cost will be determined in accordance with FEMA Disaster Assistance Regulations, 44 CFR 205.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 205.

**Application Procedure:** Upon declaration by the President of an emergency or major disaster, application for assistance by State and local governments is made through the Governor's authorized representative to the Regional Director of FEMA. Individuals apply for assistance directly to appropriate Federal, State and local government agencies. These agencies may be colocated in Disaster Assistance Centers (DAC) for applicant convenience.

**Award Procedure:** The Director of the Federal Emergency Management Agency allocates funds from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. In the case of public assistance. The FEMA Regional Director then approves grants from this allocation on the basis of project applications filed by eligible applicants. Other Federal agencies and States implementing programs under the act are also funded from this allocation for disaster work performed at FEMA's direction. States are responsible for distributing funds to local governments. Individuals receive assistance directly from FEMA or other appropriate Federal, State and local government agencies.

**Deadlines:** Applications must normally be submitted within 30 days of an emergency declaration and within 90 days of a major disaster declaration for State and local governments. Individuals normally have 60 days to apply for assistance following a major disaster declaration.

**Range of Approval/Disapproval Time:** One day to six weeks.

**Appeals:** In Public Assistance Programs, appeals for reconsideration are made through the State to the appropriate FEMA Regional Office listed in the appendix. Individual disaster victims appeal through the agency which governs the assistance for which they applied.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The individual and family grant program is 75 percent federally funded and 25 percent State funded (see Part 205.48, Title 44 of the Federal Disaster Assistance Regulations.) Emergency declarations for snow removal are 50 percent federally funded and 50 percent State and local government funded (see Part 205, 76(d)(4), Title 44). Other matching requirements may be stipulated in the declaration documents. Fire suppression assistance funds normally are made available on a cost-sharing basis.

**Length and Time Phasing of Assistance:** The length of the assistance period varies depending on the type of work or service. Reimbursement for public sector assistance is made as work is completed, inspected and audited. Furnishing of proof of purchase of required flood (or other property) insurance policies, and an obligation to maintain the policy for the economic and useful life of the property being insured.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress status reports may be required. Final inspection reports are made by Federal or State agencies.

**Audits:** Inspections and audits by the State and appropriate Federal agencies.

**Records:** Expenditure records and related documents must be retained for three years.

**FINANCIAL INFORMATION:**

**Account Identification:** 58-0039-0-1-453.

**Obligations:** (Grants) FY 81 $228,694,000; FY 82 est $473,122,000; and FY 83 est $517,249,000.

**Range and Average of Financial Assistance:** $21 to $39,202,722; $2,792,150.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 15 major disasters were declared involving 10 States, and two Territories; 1 emergency was declared; and 3 fire suppression grants were made in 2 States.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Federal Disaster Assistance Regulations, 44 CFR 205; "Handbook for Applicants," DRR-1: "Eligibility Handbook" DRR-2; "Insurance Handbook for Public Assistance," DRR-3; "Fire Suppression Assistance Handbook," DRR-4; "Community Disaster loan Handbook," DRR-5; "Environmental Review Handbook," DRR-6; "Documenting Disaster Damage, "DRR-7; "Human Needs," DRR-8; "Digest of Federal Disaster Assistance Programs," DRR-9; "Your Disaster Assistance Center," DRR-10; "Floodplain Management," DRR-11; Public Assistance Automated System," DRR-13; "Program Guide," MP-91; "Phase I - Applicant Assistance," 3201.1; "Phase II Occupant Assistance," 3201.2; "Minimal Repair Program," 3201.3; "Operations Planning," 3201.4; "Temporary Mortgage and Rental Assistance program," 3205.2; "Handbook for Disaster Assistance Center Managers," 3300.3; "Handbook for Disaster Assistance Center Staff," 3300.7, "Individual and Family Grant Handbook," 3300.12.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:** Federal Emergency Management Agency, Disaster Response and Recovery, Washington, DC 20472. Telephone: (202) 634-7800.

**RELATED PROGRAMS:** 10.054, Emergency Conservation Program; 10.404, Emergency Loans; 12.102, Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation; 12.103, Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protection Works Federally Authorized; 14.119, Mortgage Insurance—Homes for Disaster Victims; 59.002, Economic Injury Disaster Loans; 59.008, Physical Disaster Loans; 83.505, State Disaster Preparedness Grants.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# DEPARTMENT OF EDUCATION

## 84.002 ADULT EDUCATION—STATE-ADMINISTERED PROGRAM

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Adult Education Act, Title III of Public Law 91-230, as amended; 20 U.S.C. 1201 et seq.

**OBJECTIVES:** To expand educational opportunities and to encourage the establishment of programs of adult education that will enable educationally disadvantaged adults to acquire basic skills necessary to function in society, to complete secondary school, and to profit from employment related training.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Special emphasis is given to programs of instruction in computational skills and in speaking, reading, or writing English for those adults who are least educated and most in need of educational assistance. Up to 20 percent of the State allocation may be used for programs of equivalency for a certificate of graduation from a secondary school. Up to 20 percent of the State allocation may be used for the education of institutionalized adults. Not less than 10 percent of the State allocation must be used for special experimental demonstration projects and teacher training projects. State advisory councils may be established and represent eligible expenditures under the Act. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Designated State educational agencies.

**Beneficiary Eligibility:** Out of school adults 16 years of age and older who lack sufficient mastery of basic educational skills to enable them to function effectively in society or who have not graduated from secondary school.

**Credentials/Documentation:** A three-year Program Plan, Section 430(a) of the General Education Provisions Act, implemented by (Education Department) General Administrative Regulations Title 34 CFR Part 76. The Program Plan shall include a certification from the State Attorney General that all provisions and amendments thereto are consistent with State law. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governors or their designated Plan review agencies must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The Program Plan, and any amendments thereto, must be submitted to the Governor for his review and comment before they are forwarded to the Department of Education, Director of Adult Learning Programs, in Washington, DC. The Department of Education, Director of Adult Learning Programs, will provide guidance on specific problems and technical assistance in the preparation of Program Plans. Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Each State educational agency must submit to the Department of Education, Director of Adult Learning Programs, in Washington, DC, a three-year Program Plan which sets forth the manner and procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:** The Assistant Secretary for Vocational and Adult Education approves the three-year Program Plan, and any amendment thereto and returns it to the Director of Adult Learning Programs, Department of Education, who in turn notifies the State educational agency. When funds become available, the Department of Education transmits formal notice of amount of award to the State educational agency on ED Form 5235 Notification of Grant Award. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1.

**Range of Approval/Disapproval Time:** Approximately 30 days.

**Appeals:** States must be provided with an opportunity for hearings and then if dissatisfied with the Secretary's final action may appeal to the U.S. Court of Appeals.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** From the sums available, the Secretary allots not more than 1 percent among Guam, American Samoa, the Trust Territory of the Pacific Islands, the Northern Mariana Islands and the Virgin Islands and $150,000 to each State, the District of Columbia and Puerto Rico. From the remainder of such sums, the Secretary allots to each State, the District of Columbia, and Puerto Rico an amount using a statistical factor which bears the same ratio to such remainder as the number of adults, 16 years of age and over, who do not have a certificate of graduation from a school providing secondary education (or its equivalent) and who are not currently required to be enrolled in schools in such State, bears to the number of such adults in all States. The source is the "Census of Population and Housing", Bureau of the Census, 1970. Statistical factors used for eligibility do not apply to this program. The matching requirement for each State is 10 percent nonfederal, except that no matching is required for Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and the Trust Territory of the Pacific Islands. This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:** Fiscal year: funds allocated during any fiscal year ending prior to October 1, 1984, which are not obligated or expended prior to the beginning of the next fiscal year shall remain available for obligation and expenditure during such succeeding fiscal year. State draws funds as needed under a Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Financial and Program Performance Reports and the Annual Report of the National Advisory Council on Adult Education to the President.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, Title 34 CFR 76.730-734

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $100,000,000; FY 82 est $84,480,000; FY 83 est 0. This program is proposed for funding as part of a consolidated Block Grant Program. (Note Appropriation year shown. States use funds the following year.)

**Range and Average of Financial Assistance:** $73,172 to $8,334,833; $1,754,386.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, basic skills programs were provided to approximately 2,000,000 undereducated adults. In addition, the States supported special demonstration projects and teacher training projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations - 34 CFR Part 426; Adult Education State-Administered Program. Statistics: Adult Basic and Secondary Education Recent Trends 1977-79; A Fact Sheet; and the Adult Education Act, as amended (a compilation of Public Law 91-230 and all its amendments).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Adult Learning Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Telephone: (202) 245-2278; Contact: Paul Delker.

**RELATED PROGRAMS:** 16.400, Citizenship Education and Training; 84.046, Continuing Educational Outreach—State Administered Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.003 BILINGUAL EDUCATION

**FEDERAL AGENCY: OFFICE OF DIRECTOR FOR BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS, DEPARTMENT OF EDUCATION**

**AUTHORIZATION:** Bilingual Education Act; Title VII of the Elementary and Secondary Education Act of 1965, Public Law 89-10, as amended by Public Law 95-561; 20 U.S.C. 3221-3261.

**OBJECTIVES:** To develop and carry out programs of bilingual education in elementary and secondary schools, including activities at the pre-school level, which are designed to meet the educational needs of children of limited English proficiency; to demonstrate effective ways of providing such children with instruction designed to enable them, while using their native language, to achieve competence in English; to develop the human and material resources required for such programs; and to build the capacity of grantees to continue programs of bilingual education and bilingual education training programs after Federal funding ceases.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Funds may be used for (1) establishment, operation, and improvement of programs of bilingual education; (2) auxiliary and supplementary community and educational activities designed to facilitate and expand the implementation of such programs, including adult education programs, preschool programs, and training for parents; (3) training for personnel includng teachers, staff, and parents, who are participating in, or preparing to participate in, programs of bilingual education; training institutes; (establishment, operation, and improvement of undergraduate and graduate bilingual education training programs, and fellowships for study at the post-master's level in the field of training teachers for bilingual education); (4) development, assessment, and dissemination of curriculum and materials; (5) planning and technical assistance for the development of bilingual programs; (6) desegregation assistance; (7) research activities authorized under Part C of the Bilingual Education Act; and (8) a national clearinghouse for bilingual education. Federal funds made available under this Title will be used to supplement, not to supplant, existing funds. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State educational agencies; local educational agencies; and institutions of higher education, including junior and community colleges; private non-profit organizations; and nonprofit institutions or organizations of Indian tribes that operate elementary or secondary schools on reservations and are approved by the Secretary for the purpose of the Title. For research contracts, State educational agencies, institutions of higher education, private and nonprofit institutions/organizations, and individuals are eligible.

**Beneficiary Eligibility:** Children with limited proficiency in understanding, speaking, reading, and writing English. Children in both public and nonprofit private elementary and secondary schools may receive services. Participants in training activities include undergraduate and graduate students, school personnel, parents, and others involved in the conduct of programs of bilingual education for children of limited English proficiency.

**Credentials/Documentation:** A local educational agency applying for assistance as a sole or joint applicant must certify that, prior to submission of its application, it has held an open meeting to discuss the contents of the application. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants under certain programs are required to form advisory councils or project committees to assist in the development of their applications. Applicants under several of the programs must submit their applications to the appropriate State educational agencies for review in advance of submitting their applications to the Education Department. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be prepared and submitted to the Education Department in accordance with program regulations and announcements and established deadlines. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Based on evaluations and recommendations of outside experts, internal review of all proposals, and recommendations from State educational agencies, the Director of the Office of Bilingual Education and Minority Languages Affairs approves new applications for support. Awards are for a project period ranging from 1 to 5 years, with local educational agencies, applying as sole or joint applicants, limited to a maximum project period of 3 years. Continuation of a multi-year award is conditioned on the availability of funds and grantee's demonstration of satisfactory progress toward achieving program objectives. Following negotiation with the approved applicant, the Education Department Grants Officer sends notification of the grant award to the recipient.

**Deadlines:** As announced by the Secretary of Education. The closing dates for transmittal of applications for FY 1982 funds are announced in the FEDERAL REGISTER. Contact the program office for additional information. Prospective applicants may request placement on the program mailing list.

**Range of Approval/Disapproval Time:** 60 to 90 days.

**Appeals:** None.

**Renewals:** None

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. The legislation (20 U.S.C. 3221(c)(5)(B)) limits State educational agencies to an award amount that does not exceed 5 percent of the total amount awarded under Part A of the Bilingual Education Act to the local educational agencies within their respective States during the preceding fiscal year.

**Length and Time Phasing of Assistance:** Funding will usually be for a 12 month period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required by Education Department General Administrative Regulations 34 CFR 75.720-75.721. Specific reporting requirements are contained in the grant document.

**Audits:** Periodic audits should be made as part of recipients' systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** As required by Education Department General Administrative Regulations 34 CFR 75.730-75.734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $156,818,000; FY 82 est $123,174,000; and FY 83 est $94,534.

**Range and Average of Financial Assistance:** $25,000 to $1,500,000; $175,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 funds supported 554 basic and 60 demonstration classroom projects; 43 technical assistance coordination projects at State educational agencies; 22 regional training and evaluation support services centers; 10 materials development projects; 164 training projects; and 529 fellowships and 37 desegregation support projects. It is estimated that fiscal year 1982 funds will support 395 basic and 58 demonstration elementary and secondary school projects; 48 technical assistance coordination projects at State educational agencies; 22 regional training and evaluation support service centers; 137 training projects; 435 fellowships; and 35 desegregation support projects. It is estimated that fiscal year 1983 funds will support 313 basic and 57 demonstration elementary and secondary school projects; 48 technical assistance coordination projects at State educational agencies; 19 regional training and evaluation support services centers; 110 training projects; and 400 fellowships; Approximately 1,100 applications were received for FY 1981 funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations, Title 34 CFR Parts 500-505, 510, 514, 515, 520; Bilingual Education Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Bilingual Education and Minority Languages Affairs, Department of Education, 400 Maryland Ave., S.W. (Room 421, Reporters Building), Washington, DC 20202. Telephone: (202) 245-2600; Contact: Rudy Cordova, (202) 245-2961; Rudolph Munis, (202) 447-9227; Robert Acosta, (202) 447-9273.

**RELATED PROGRAMS:** 84.011, Migrant Education—Basic State Formula Grant Program; 84.012, Educationally Deprived Children—State Administration; 84.034, Public Library Services; 84.048, Vocational Education—Basic Grants to States; 84.077, Bilingual Vocational Training; 84.099, Bilingual Vocational Instructor Training; 84.100, Bilingual Vocational Instructional Materials, Methods, and Techniques; 84.146, Transition Program for Refugee Children.

**EXAMPLES OF FUNDED PROJECTS:** (1) Programs of bilingual education at elementary, secondary, and preschool level, with parent and staff training components. (2) Projects that develop, operate, or improve graduate and undergraduate study programs in bilingual education. (3) Fellowships for post-master's degree students studying to become trainers of teachers for programs of bilingual education, (4) Intensive, short-term, non-degree training institutes for parents, staff, and others involved in bilingual education. (5) State educational agency projects that coordinate technical assistance to programs of bilingual education within their respective states.

**CRITERIA FOR SELECTING PROPOSALS:** Criteria vary among programs, however common to most of the programs are criteria which rate: (1) Need for the proposed project; (2) Expected impact/performance objectives; (3) Plan of operation; (4) Evaluation plan; (5) Quality of personnel; (6) Adequacy of budget and cost effectiveness; and (7) Commitment to bilingual education and plans for building capacity to continue the program after Federal funding ceases. The Secretary gives priority to applications proposing service to areas having the greatest need for the assistance provided under the Bilingual Education Program.

## 84.004 CIVIL RIGHTS TECHNICAL ASSISTANCE AND TRAINING

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Civil Rights Act of 1964, Title IV; Section 403, 404, 405; Public Law 88-352; 42 U.S.C., 2000c, 2-4.

**OBJECTIVES:** To provide direct and indirect technical assistance and training services to school districts to cope with educational problems occasioned by desegregation by race, sex, and national origin.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The Assistant Secretary is authorized to make awards to desegregation assistance centers and State educational agencies for race, sex and national origin desegregation; to training institutes for race and sex desegregation; and to local educational agencies for race, national origin and sex desegregation. These awards are made to more effectively facilitate the desegregation of public elementary and secondary schools, and to help solve problems related to race, sex, and national origin desegregation. Applicants for desegregation assistance centers apply to serve designated geographic areas. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. Joint funding pertains to local education agency grantees only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any school board, State educational agency, institution of higher education, private, nonprofit organization or any public agency to help solve problems related to the race, sex, and national origin desegregation of public elementary and secondary schools. School Boards requesting grants for race desegregation must meet the eligibility requirements specified in the Regulations (Section 180.04). Eligible agencies requesting assistance as institutes or desegregation assistance centers must meet the eligibility requirements specified in the regulations.

**Beneficiary Eligibility:** Educational personnel and elementary and secondary students in eligible school districts.

**Credentials/Documentation:** Submission of a proposal for one or more of the sections of Title IV, Civil Rights Act of 1964. (More detailed information may be found in the regulations). Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants may contact the Department of Education. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submission of a proposal to the Department of Education. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Assistant Secretary for Elementary and Secondary Education makes final approval decisions for award upon the recommmendation of the Director, Division of Equity Training and Technical Assistance. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Undertermined.

**Range of Approval/Disapproval Time:** On or before June 30 of every year.

**Appeals:** Not applicable.

**Renewals:** A desegregation assistance center is eligible for continuation awards for up to two years if it meets the criteria for continuation in the regulations.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Assistance is normally provided for 1 year; payments normally made on a quarterly basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with OMB Circular No. A-102 (Attachments H and I) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a Subparts P and Q.

**Audits:** In accordance with OMB Circular No. A-102 (Attachment C) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a, Subpart R.

**Records:** In accordance with OMB Circular No. A-102 (Attachment C) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a, Subpart R.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0103-0-1-501.

**Obligations:** (Grants) FY 81 $37,110,903; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $14,000 to $400,000; $180,289.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 an estimated 416 applications were received, 319 awards were made and 19,000,000 students served. In fiscal year 1982 an estimated 175 applications will be received, 150 awards will be made and an estimated 10,000,000 students will be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 45 CFR, Part 180.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Equity Training and Technical Assistance Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-8840; Contact: Jack Simms.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Civil Rights Act (CRA) awards are made to eligible recipients to address problems related to the race, sex, and national origin desegregation of public elementary and secondary schools.

**CRITERIA FOR SELECTING PROPOSALS:** CRA applications are evaluated according to the extent to which the applicant demonstrates its familiarity with the magnitude of need; a commitment to race, sex, and national origin desegregation; the quality of design measured by how well the activities show problems resulting from desegregation. CRA applications are placed in a national rank order and funded from the top down until funds are exhausted. School Boards CRA national origin and race application selection are based on funding of procedure as specified in Section 180.74 of the Regulations.

## 84.005 COLLEGE LIBRARY RESOURCES
## (HEA- Title II-A)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Title II-A; Public Law 89-329 as amended, by the Education Amendments of 1980, Public Law 96-374; Sections 201-211; 20 U.S.C. 1021-1029.

**OBJECTIVES:** To assist and encourage institutions of higher education and other eligible institutions in the acquisition of library materials. Funds may also be used for the establishment and maintenance of library networks for resource sharing.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds must be expended for the acquisition of library materials - books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials, cataloging materials, and other printed and published materials which are suitable for inclusion in the library resources of institutions of higher education, and costs related to the establishment and maintenance of networks including, but not limited to, computer time, network membership and user fees, for sharing library resources. Funds may not be expended to acquire library materials to be used for sectarian instruction or worship, primarily in connection with any part of a program of a school or department of divinity. One category of grants is authorized for eligible applicants; resource development grants (limited to a maximum of $10,000). An institution receiving a grant under Section 231 of the Higher Education Act (Strengthening Research Library Resources) or assistance under the Medical Library Assistance Act of 1965 (as amended) is ineligible to receive a grant under this part in the same fiscal year. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All institutions of higher education, State, local, and private non-profit library organizations and agencies which on the basis of a formal written agreement with one or more institutions of higher education make available library and information services on a cooperative basis, and which meet maintenance of effort requirements for library material expenditures.

**Beneficiary Eligibility:** Students attending institutions receiving the grants.

**Credentials/Documentation:** The applicant shall provide information about itself and its library resources, and include an assurance that if it receives a grant under this program, it will meet the maintenance of effort requirement unless waived by the Secretary. Consult headquarters office for details.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Eligible institutions apply directly to the Department of Education. This program is subject to the provisions of OMB Circular No. A-110. An applicant may submit no more than one application in a fiscal year.

**Award Procedure:** Awards are made by the Secretary of Education to eligible institutions which meet the maintenance of effort requirement for library materials expenditures. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. The Secretary determines the amount of a resource development grant annually by dividing the amount of available funds by the number of eligible applicants that demonstrate compliance with the Act.

**Deadlines:** Applications are submitted once each year. The deadline date for FY 1982 was January 29, 1982. This deadline was based upon the anticipated availability of funds under the FY 82 Continuing Resolution.

**Range of Approval/Disapproval Time:** Approximately 4 months from closing date.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** One year. Grants issued in one fiscal year provide funding to be utilized during the following fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** ED Form 606 the Final Financial Status and Performance Report must be submitted within 90 days after the end of the grant award period.

**Audits:** Audits are performed by ED; no specified time.

**Records:** Records must be maintained for 5 years after close of fiscal year in which the expenditure was made by grantee or until grantee is notified of completion of Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Grants) FY 81 $2,977,400; FY 82 est $1,920,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** The amount of the resource development grant in fiscal year 1981, $1,200. The amount of resource development grants may not exceed $10,000 for any fiscal year.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 applications received: 2,609. Fiscal year 1981 applications funded: 2,471.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Application and instructions for grants under the College Library Resources

Program, "College Library Resource Program, Rules and Regulations" as published in the Federal Register of November 18, 1974. Revised final regulations were published in the June 17, 1981, Federal Register, page 31866, 34 CFR Part 773.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Library Education, Research and Resources Branch, Division of Library Programs, Office of Libraries and Learning Technologies, Office of Educational Research and Improvement, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-9530. Contact: Frank Stevens.

**RELATED PROGRAMS:** 39.005, National Audiovisual Center; 42.003, Distribution of Library of Congress Cataloging; 42.005, Library of Congress Publications; 84.035, Interlibrary Cooperation; 84.091, Strengthening Research Library Resources.

**EXAMPLES OF FUNDED PROJECTS:** All resource development grant awards are for the acquisition of library materials and the establishment and maintenance of networks for sharing library resources as defined in USES AND USE RESTRICTIONS above.

**CRITERIA FOR SELECTING PROPOSALS:** 1) Certification of Eligibility by the Department of Education's Institutional Eligibility Division, 2) Adherence to the maintenance-of-effort requirement (or submission of an approvable waiver request).

## 84.007 SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (SEOG)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Public Law 89-329; Title IV, Part A, Subpart 2; 20 U.S.C. 1070b, Public Laws 92-318, 94-482, 95-566 and 96-374.

**OBJECTIVES:** To enable students with financial need to pursue higher education by providing grant assistance for educational expenses.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Grants are for undergraduate study, and range from $200 to $2,000 per academic year. A student is eligible to receive a Supplemental Grant for the period of time needed to complete the first undergraduate baccalaureate course of study being pursued by that student. An institution is entitled to an administrative cost allowance for expenditures which equal five (5) percent of the first $2,750,000, plus four (4) percent for expenditures greater than $2,750,000 but less than $5,500,000, plus three (3) percent for expenditures in excess of $5,500,000. A student's first SEOG is an Initial Year (IY) Grant. Subsequent SEOGs to that student are Continuing Year (CY) Grants. Institutions receive separate IY and CY allocations; however, institutions may use IY funds for making CY awards and use CY funds for making IY awards.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Higher education institutions (public, other nonprofit, and proprietary) meeting eligibility requirements (accreditation, postsecondary, etc.).

**Beneficiary Eligibility:** Undergraduate students accepted for admission or enrolled as a regular student, maintaning satisfactory progress in accordance with the standards and practices of the institution; has financial need, do not owe a refund on a Title IV Grant, are not in default on a Title IV loan, and meet citizen/resident requirements.

**Credentials/Documentation:** Institutions must document their eligibility and students must demonstrate financial need.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Representatives of the appropriate ED Regional Office are available for consultation (See listing of ED Regional Offices in the address appendix). Students should contact the institution(s) they wish to attend.

**Application Procedure:** Participating institutions submit Fiscal-Operations Report/Application ED Form 646, to participate in Federal Student Aid Programs, including College Work-Study and National Direct Student Loan Programs, which is mailed to institutions of postsecondary education each fall by the Office of Student Financial Assistance, Office of Postsecondary Education, Department of Education. New institutions submit only the application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Office of Student Financial Assistance (OSFA) determines final awards and notifies participating institutions.

**Deadlines:** Usually in October and is indicated in the application packet. Appeal deadline is in February or March.

**Range of Approval/Disapproval Time:** Notices of tentative amounts sent in February; additional 60 to 90 days for final notices.

**Appeals:** Appeals may be made within approximately 3 weeks after the institution receives its tentative notification.

**Renewals:** Annual.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted among the states according to statutory formula and regulations. The statistical factors used for fund allocation are: 1. full-time enrollment by State proportion and the source is the "Fall Enrollment in Higher Education", NCES; and 2. full-time equivalent of part-time enrollment in higher education by State proportion ad the source is the "Fall Enrollment in Higher Education", NCES. Statistical factors used for eligibility do not apply to this program. The Consumer Price Index is used in computing the BEOG index, and BLS Low Income figures are used in the Uniform Methodology. Both are used in determining institutional need for campus-based funds, and thus eligibility for the funds. The procedures are described in Sections 676.3 to 676.7 of the SEOG regulations printed in the Federal Register on January 19, 1981. SEOG awards are entirely Federal money.

**Length and Time Phasing of Assistance:** Funds are awarded for use by participating institutions for one award year at a time following the year of application.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A single combined Fiscal-Operations Report/Application form for NDSL, SEOG and CWS (ED 646) is submitted by each institution at the close of each award year of operation (June 30).

**Audits:** An institution may have itself audited according to ED guidelines by its own licensed or certified public accountants at its own expense, and is encouraged to do so annually, but must do so not less frequently than once every two years. Audits are performed at government expense by the ED Audit Agency as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:** All records pertaining to a given fiscal year's activities must be retained for a period of 5 years following the end of the fiscal year or until audited, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0200-0-1-502.

**Obligations:** (Grants) FY 81 est $370,000,000; FY 82 est $278,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Institutions: $200 to $3,741,390; $91,055; students: $200 to $2,000 per academic year; average IY-$535, CY-$539.

**PROGRAM ACCOMPLISHMENTS:** In the award period 1979-80 it is estimated that 3,750 institutions participated in the SEOG grants which program and 614,700 students attending those institutions were awarded SEOG grants which enabled them to pursue their education.

**REGULATIONS, GUIDELINES, AND LITERATURE:** CFR Title 34, Part 676; Information leaflet, no charge; Notification to Members of Congress, list of grantees, issued annually or as necessary, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Students should contact the educational institution(s) they wish to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV).

**Headquarters Office:** Division of Policy and Program Development, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-9720; Contact: Margaret O. Henry.

**RELATED PROGRAMS:** 64.111, Veterans Educational Assistance; 64.117, Dependents Educational Assistance; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers; 84.069, Grants to States for State Student Incentives.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.009 PROGRAM FOR EDUCATION OF HANDICAPPED CHILDREN IN STATE OPERATED OR SUPPORTED SCHOOLS

## (Public Law 89-313)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Elementary and Secondary Education Act of 1965, Title I; Public Law 89-10, as amended by Public Laws 89-313, 93-380, and 95-561; 20 U.S.C. 241c-5.

**OBJECTIVES:** To extend and improve comprehensive educational programs for handicapped children enrolled in State-operated or State-supported schools.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for projects providing educational and related services as needed such as instruction, physical education, mobility training, counseling, prevocation and vocational education, teacher and teacher aide training, construction and equipment in State-operated or State-supported schools or eligible public schools. Restrictions on the use of these funds include construction and installation of equipment in nonpublic schools, nonessential construction or remodeling; or projects predominantly for persons over 20 or beyond 12th grade. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies are eligible for participation. Local educational agencies may participate on behalf of children who were formerly enrolled in State agencies and for at least one school year and counted in Average Daily Attendance who then left the State agency to participate in an appropriately designed special education program at the local level.

**Beneficiary Eligibility:** Handicapped children classified by the State, through age 20 and not having completed grade 12, whose free public education is the responsibility of the State. Those classifications include children who are mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically handicapped, other health impaired, deaf-blind, specific learning disabled and multi-handicapped, who by reason thereof require special education.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** A State agency must file with the Secretary of Education statutory evidence of its establishment as such by the State, its responsibility for providing educational services to handicapped children, and its actual provision of such services. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). States must submit a three year Monitoring and Enforcement Plan (MEP) which (1) outlines standards for its monitoring of Public Law 89-313 projects and establishes the scope of those proceduree; (2) establishes standards for written procedures for the resolution of complaints and, (3) establishes procedures for the resolution of audits. (Each state must also provide for audits of Title I expenditures.)

**Application Procedure:** For agency participation, the State agency must submit the average daily attendance of handicapped children in schools which it operates or supports including the count of those children in local educational programs who were formerly counted for the average daily attendance in the State agency. For project implementation an eligible individual school must submit a project application to its supervising State agency with SEA having final approval.

**Award Procedure:** Upon approval of MEP and assurances, a grant award document representing a total grant amount for the fiscal year is sent to the SEA. Project application is then funded through the approval of supervising State agencies and the State educational agency. Approvals are based upon project conformance to Public Law 89-313 regulations and the degree to which the project meets established State or agency priorities. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** State agency average daily attendance reports are due November 15. Project application deadline dates vary with states.

**Range of Approval/Disapproval Time:** 90 to 150 days.

**Appeals:** Appeal procedures are outlined in Section 168 of Public Law 95-561.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The State agency grant is determined by a formula. The statistical factors used for fund allocation are: 1. the State total number of handicapped children in average daily attendance (birth to 21) and the source is unpublished data from the Bureau of Education of the Handicapped; and 2. the average per pupil expenditure for each State 1975 to 1976 school year and the source is the "Revenues and Expenditures Annual", NCES. Statistical factors used for eligibility do not apply to this program. Project monies are granted on the basis of the number of handicapped children to be served, merit of the project design, and State agency funding priorities. No matching requirements. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** One fiscal year ( a 15 month period from July 1 - September 30), with fund carry-over provisions for an additional 12 months. Eligible State agencies may withdraw funds through the State educational agency, where funds are available at any time during the funding period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Financial Status Reports and Performance Reports are required on a State aggregate basis to be submitted to OSE. Quarterly and annual fiscal reports are required of State agencies under Title I, Public Law 89-10.

**Audits:** As part of their regular program and administrative reviews of State educational agencies, the Department of Education Audit Agency will perform audits. The Department of Education will also review Public Law 89-313 programs during on-site visits.

**Records:** The law requires that all participating agencies and schools maintain records relating to all claims for Federal funds, which must be made available at the time of Federal audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $144,633,656; FY 82 not yet determined; and FY 83 not yet determined.

**Range and Average of Financial Assistance:** $208,301 to $23,819,704.

**PROGRAM ACCOMPLISHMENTS:** This program supports a great variety of educational efforts on behalf of handicapped children in State-operated and State-supported schools. In fiscal year 1981, 233,170 children were served in 4,288 State and 3,877 local agencies; In fiscal year 1982, 243,708 children will be served in 4,000 State and 3,700 local agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 121a, 45 CFR 116b.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State Coordinator for Public Law 89-313 of Title I, ESEA, State Department of Education. Potential applicants should contact this official first.

**Headquarters Office:** Division of Assistance to States, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202. Telephone (202) 472-4825; Contact: Thomas Irvin.

**RELATED PROGRAMS:** 13.613, Mental Retardation—President's Committee on Mental Retardation; 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children; 84.024, Handicapped Early Childhood Assistance; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.029, Handicapped Personnel Preparation; 84.030, Handicapped Teacher Recruitment and Information; 84.086, Innovative Programs for Severely Handicapped Children.

**EXAMPLES OF FUNDED PROJECTS:** Supplemental Special Education and Related Services Projects submitted by State agencies such as Departments of Mental Health.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.010 EDUCATIONALLY DEPRIVED CHILDREN—LOCAL EDUCATIONAL AGENCIES

### (Chapter 1, ECIA)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Consolidation and Improvement Act of 1981; Chapter 1, enacted as part of Subtitle D of Title V of the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35).

**OBJECTIVES:** To provide financial assistance to local educational agencies to meet the special needs of educationally deprived disadvantaged children selected in accordance with Section 556 of Chapter 1.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Primarily for provision of instructional activities to educationally deprived children selected in accordance with Section 556 of Chapter 1. Also includes support service activities not available from other sources. Services must supplement, not supplant, those normally provided by State and local educational agencies. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Department of Education in states and outlying areas; Bureau of Indian Affairs.

**Beneficiary Eligibility:** Local School Districts providing supplementary services to educationally deprived children selected in accordance with Section 556 of Chapter 1.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Before submitting an application, local school districts should consult with parents, teachers, welfare agencies, health agencies, private elementary and secondary schools, and local and Federal agencies. Consultation is directed to determine the needs of the children in eligible attendance areas and availability of resources to meet some of these needs.

**Application Procedure:** Local educational agencies submit applications to State educational agencies for approval. Forms for these applications are developed by each State. To be eligible, the application must conform with the Act, regulations, and criteria established by the Department of Education. (Headquarters Office listed below.)

**Award Procedure:** The grant is issued by the Department of Education to the State educational agency. The State educational agency makes suballocations to school districts. The educational agency releases funds to local school districts under the Letter of Credit procedure after it has received and approved an application from a local school district. Notification of awards to the States must be made to the designated State Central Information Receptio Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadline dates are established by each State.

**Range of Approval/Disapproval Time:** Varies with each State.

**Appeals:** None.

**Renewals:** None; new applications are required every 3 years. Each application must be updated annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Basic grants: The statistical factors used for fund allocation are: 1. the number of children aged 5 to 17 in families that are poor by county (based on the "Orshansky" poverty index) and the source is the "1970 Decennial Census"; 2. the national income for four person families by county and the source is the "Survey of Income and Education", Bureau of the Census; 3. the number of children in families receiving AFDC payments above the poverty level for nonfarm family of four persons by county and the source is unpublished annual county data in the administrative records of SSA/HHS; 4. the number of children in foster homes supported with public funds by county and the source is unpublished annual county data in the administrative records of SSA/HHS; 5. the children in local institutions for neglected delinquent children which are not State operated by county and the source is the unpublished annual county survey of the Office of Compensatory Education; and 6. the average State per pupil expenditure from State, Federal, and local funds by county and the source is the "Revenues and Expenditures", NCES. Statistical factors used for eligibility do not apply to this program. Maximum entitlements to local school districts are computed on a county basis by multiplying the number of eligible children by 40 percent of the State's average per pupil expenditure (or not less than 80 percent nor more than 120 percent of the national average per pupil expenditure). There is no matching requirement. Special grants: Special Incentive Grants: A State educational agency is entitled to receive 50 percent of the amount of State funds for compensatory education programs which are similar to Title I. Entitlements are ratably reduced to the amount appropriated. Each local educational agency in an eligible State is entitled to additional funds in the same proportion of the State special incentive grant as it received of the total State basic grant Title I. Concentration Grants: Each local educational agency which is located in a county which has 5,000 children from low-income families or 20 percent of the children are from low-income families, is entitled to receive an additional amount of Title I funds. County entitlements are computed based on the product of the number of children in excess of 5,000 or 20 percent and the cost per child determined by dividing the current year's authorization for basic grants by the previous year's formula children. No State shall receive less than one-quarter of one prercent of the amount appropriated. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Assistance is provided for one fiscal year. Unspent funds may be carried forward into the next fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** In accordance with Attachment P to OMB Circular No. A-102.

**Records:** In accordance with program requirements in 34 CR 200.56.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0900-0-1-501.

**Obligations:** (Grants) FY 81 $2,731,651,464; FY 82 est $2,611,386,972; FY 83 est $2,413,000,000.

**Range and Average of Financial Assistance:** From $611,964 to $247,219,841; average not determined.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, approximately 5.6 million children in 14,000 school districts were served. Approximately 4 percent of these children are in non-public schools. In fiscal years 1981 and 1982 approximately 4.7 million children will be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 CFR, Part 200. All publications are available from the Department of Education.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Compensatory Education Programs, Office of the Assistant Secretary for Elementary and Secondary Education, Department of Education, 7th and D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-3081, Contact: Wilbert Cheatham.

**RELATED PROGRAMS:** 10.550, Food Distribution; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 23.013, Appalachian Child Development; 84.011, Migrant Education—Basic State Formula Grant Program; 84.012, Educationally Deprived Children—State Administration; 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children; 84.014, Follow Through; 84.086, Innovative Programs for Severely Handicapped Children; 84.152, Neglected or Delinquent Transition Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable - formula entitlement.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable - formula entitlement.

## 84.011 MIGRANT EDUCATION—BASIC STATE FORMULA GRANT PROGRAM

### (State Migrant Education Program)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Title I, Sections 141-142, Elementary and Secondary Education Act (Public Law 89-10), as amended by Public Law 95-561; 20 U.S.C. 2761-2762.

**OBJECTIVES:** To establish and improve programs to meet the special educational needs of migratory children of migratory agricultural workers or of migratory fishers.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Program funds are used to establish and improve programs to meet the special educational needs of migratory children of migratory agricultural workers or of migratory fishers. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State educational agencies.

**Beneficiary Eligibility:** Migratory children of migratory agricultural workers or of migratory fishers.

**Credentials/Documentation:** Migratory children who have moved from one school district to another during the past year, and who have a parent or guardian who moved from one school district to another, to obtain temporary or seasonal employment in agriculture, fishing, or related food processing activities. With the concurrence of the parent or guardian, a child may be considered migratory for up to an additional five years after the parent or guardian has ceased to migrate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Governors or their designated State Plan review agencies must be given an opportunity to review the State Plan in accordance with the provisions of OMB Circular No. A-95 (Attachment A, Part III)(revised). The State educational agency works closely with local educational agencies and public and nonprofit private agencies that serve migratory children.

**Application Procedure:** An applicant must use the standard application form (ED Form 362) as furnished by the Department of Education and as required in accordance with the provisions of OMB Circular No. A-102. A State educational agency submits its State Plan and cost estimate to the Department of Education not later than April 15 (or another date indicated in an announcement issued by the Department of Education each year and published in the Federal Register). A State plan must be prepared and submitted in accordance with the regulations, instructions, and forms included in the State Plan package. The State Plan is reviewed by the Department of Education for approval for funding.

**Award Procedure:** The Department of Education notifies an approved State educational agency of its award. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with the provisions of Treasury Circular 1082.

**Deadlines:** Announced annually in the Federal Register.

**Range of Approval/Disapproval Time:** Two and one-half months. Approximately 30 days.

**Appeals:** Allowable under the law. Appeals should be made to the Department of Education Appeals Board.

**Renewals:** None; programs are approved annually and grants are awarded annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The factors used in the formula are as follows: Forty percent of a State's average per pupil expenditure rate (adjusted to not less than 80 percent nor more than 120 percent of the national average per pupil expenditure rate) multiplied by (1) the estimated number of migratory children age five to seventeen, inclusive, who reside in the State full-time, and (2) the full-time equivalent of the estimated number of migratory children age five to seventeen, inclusive, who live in the State part-time. Counts of migratory children are as determined through the Migrant Student Record Transfer System (MSRTS) of the Arkansas State Department of Education. State per pupil expenditure rates are as determined through by the National Center for Education Statistics (NCES). This program has maintenance of effort (MOE) requirements; contact funding agency for further details.

**Length and Time Phasing of Assistance:** One fiscal year is the basis for assistance. Unspent funds may be carried over into the next fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with the provisions of OMB Circular No. A-102, the Department of Education Administration Regulations (34 CFR Part 74), the Education Department General Administrative Regulations (34 CFR Part 75-77), and the Migrant Education Program Basic State formula Grant Program Regulations (34 CFR Part 204), the State educational agency must submit annually a final financial status report and a final performance or evaluation report. The financial status report is not required for FY 1982 and FY 1983.

**Audits:** In accordance with the provisions of OMB Circular No. A-102 and the Department of Education Grants Administration Regulations (34 CFR Part 74), periodic audits should be conducted to monitor the recipient's financial management systems and internal control to ensure that funds have been used efficiently, economically, and effectively to meet the terms and conditions of the grant and all other related requirements. Audits by the Inspector General of the Department of Education and other authorized government audits must be conducted in accordance with the provisions of "Standards of Audits of Governmental Organization, Programs, Activities, and Functions," issued by the Comptroller General of the United States, and any other applicable audit guide.

**Records:** In accordance with the provisions of OMB Circular No. A-102, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), a State educational agency must maintain completed accounting, personnel, performance, and other program records.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $259,040,000; FY 82 est $197,952,000; and FY 83 est $162,012,000.

**Range and Average of Financial Assistance:** FY 81 $13,512 to $66,974,745; Average $5,079,216.

**PROGRAM ACCOMPLISHMENTS:** In program year 1980-81, programs provided services to approximately 550,000 migratory children in 3,100 local school districts in 47 States, the District of Columbia, and Puerto Rico.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Parts 74, 76, 77, 200 and 204.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Migrant Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., ROB 3, Room 3608, Washington, DC 20202. Telephone: (202) 472-6100. Contact: Dustin Wilson.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 13.600, Administration for Children, Youth and Families—Head Start; 17.230, Migrant and Seasonal Farmworkers; 84.141, Migrant Education—High School Equivalency Program; 84.144, Migrant Education—Interstate and Intrastate Coordination Program; 84.149, Migrant Education—College Assistance Migrant Program.

**EXAMPLES OF FUNDED PROJECTS:** Only State migrant education programs are funded. Program funds are used to establish or improve programs to meet the special educational needs of migratory children in areas such as the following: academic instruction; remedial and compensatory instruction; bilingual and multicultural instruction; vocational instruction and career education services; special guidance counseling, and testing services; and preschool services.

**CRITERIA FOR SELECTING PROPOSALS:** Migrant Education Basic State Formula Grant Program Regulations (34 CFR Part 204) include general criteria only, as follows: A State migrant education program must--(1) Be designed to meet the special educational needs of migratory children eligible to be served; and (2) Hold reasonable promise of making substantial progress toward meeting those needs.

## 84.012 EDUCATIONALLY DEPRIVED CHILDREN—STATE ADMINISTRATION

### (Chapter 1, ECIA; State Administration)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Consolidation and Improvement Act of 1981, Chapter 1, enacted as part of Subtitle D of Title V of the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35).

**OBJECTIVES:** To provide financial assistance to State educational agencies to meet the special needs of educationally deprived children.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To provide financial assistance to State educational agencies for providing technical assistance, monitoring, approval of projects, dissemination, evaluation and preparation of reports. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Departments of education in States and outlying areas.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** State educational agencies submit to ED assurances that meet the requirements in Section 435 of the General Education Provisions Act as the relate to fiscal control and final accounting procedures. (See Headquarters office listed below).

**Award Procedure:** Grants are issued to State educational agencies. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** None.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each State, the District of Columbia, and Puerto Rico, receive $225,000 or one percent of the amount allocated for whichever is higher, the Virgin Islands, Guam, Northern Mariana, the Trust Territories, and American Samoa receive $50,000. There are no matching requirements.

**Length and Time Phasing of Assistance:** One fiscal year. Unspent funds may be carried forward into the next fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** In accordance with Attachment P to OMB Circular No. A-102.

**Records:** In accordance with program requirements in 34 CFR 200.56.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0900-0-1-501.

**Obligations:** (Grants) FY 81 $48,318,628; FY 82 est $33,930,028; FY 83 est $32,573,000.

**Range and Average of Financial Assistance:** $50,000 to $3,288,340.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 50 states, the District of Columbia, Puerto Rico, and the outlying areas were funded. The same participation is expected in fiscal years 1981 and 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 CFR, Part 200.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Compensatory Education Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, 7th and D Streets S.W., Washington, DC 20202; Contact: Wilbert Cheatham. Telephone: (202) 245-3081

**RELATED PROGRAMS:** 13.623, Administration for Children, Youth and Families—Runaway Youth; 84.009, Program for Education of Handicapped Children in State Operated or Supported Schools; 84.010, Educationally Deprived Children—Local Educational Agencies; 84.011, Migrant Education—State Formula Grant Program; 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children; 84.014, Follow Through; 84.152, Neglected or Delinquent Transition Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable - formula entitlement.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable - formula entitlement.

## 84.013 EDUCATIONALLY DEPRIVED CHILDREN IN STATE ADMINISTERED INSTITUTIONS SERVING NEGLECTED OR DELINQUENT CHILDREN

### (Chapter I ECIA; Neglected and Delinquent)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Consolidation and Improvement Act of 1981; Chapter 1, enacted as part of Subtitle D of Title V of the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35).

**OBJECTIVES:** To provide financial assistance to meet the special needs of institutionalized neglected or delinquent children for whom the State has an educational responsibility.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Chapter 1 funds may be used for educational or educationally related services. Services must be used to supplement, not supplant, those normally provided with State funds. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other resrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Departments of education in States and outlying areas.

**Beneficiary Eligibility:** State agencies directly responsible for providing free public education for children under 21 years of age who have been placed in a State institution for neglected or delinquent children or in adult correctional institutions.

**Credentials/Documentation:** Neglected or delinquent children in custody of a State agency providing a State funded organized program of instruction. None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** An institution cooperates with the State agency overseeing its operations in planning a Chapter 1 project. The State agency, in turn, finalizes program development, prepares Chapter 1 application, and submits it to the State educational agency for approval. For further information, contact the Chapter 1 coordinator in the State's Department of Education.

**Application Procedure:** The State agency submits a Chapter 1 application for the institutions under its control to the State educational agency. To be eligible, the proposal must conform with the Act, regulations, and such criteria as may be established by the Department of Education.

**Award Procedure:** Approval of the Chapter 1 application is made by the State Department of Education. The Secretary of Education makes an award directly to the State educational agency, which then grants funds to the State agency responsible for the institutions. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Established by the states.

**Range of Approval/Disapproval Time:** Varies with each State.

**Appeals:** None.

**Renewals:** None; new applications are required every 3 years. Each application must be updated annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Programs for Neglected and Delinquent Children: The statistical factors used for fund allocation: are 1. average daily attendance of children in schools who reside in State institutions through grade 12, multiplied by 40 percent of the State's average per pupil expenditure (or not less than 80 percent nor more than 120 percent of the national average per pupil expenditure), and the source is the unpublished annual survey conducted by the Compensatory Education Programs office; and 2. the State per pupil expenditure and the source is the Revenues and Expenditures, NCES. Statistical factors used for eligibility do not apply to this program. There is no matching requirement.

**Length and Time Phasing of Assistance:** One fiscal year. Unspent funds may be carried forward to the next fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** None.

**Audits:** In accordance with OMB Attachment P to Circular No. A-102.

**Records:** In accordance with program requirements in 34 CFR 200.56.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0900-0-1-501.

**Obligations:** (Grants) FY 81 $32,391,655; FY 82 est $33,075,000; and FY 83 est $31,752,000.

**Range and Average of Financial Assistance:** $4,835 to $2,534,063; average not available.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, an estimated 50,000 children in State operated or supported institutions received educational support. In fiscal years 1981 and 1982 an estimated 46,000 children will receive support.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 CFR, Part 203.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Compensatory Education Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, 7th and D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-3081. Contact: Wilbert Cheatham.

**RELATED PROGRAMS:** 13.645, Child Welfare Services—State Grants; 84.010, Educationally Deprived Children-Local Educational Agencies; 84.011, Migrant Education—Basic State Formula Grant Program; 84.012, Educationally Deprived Children-State Administration; 84.152, Neglected or Delinquent Transition Services.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable - formula entitlement.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable - formula entitlement.

## 84.014 FOLLOW THROUGH

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** The Follow Through Act; enacted as part of subtitle A of Title VI of the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35).

**OBJECTIVES:** To sustain and augment in primary grades the gains that children from low-income families make in Headstart and other quality preschool programs. Follow Through provides special programs of instruction as well as health, nutrition, and other related services which will aid in the continued development of children to their full potential. Active participation of parents is stressed.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Funds are used for (1) discretionary grants made primarily to local educational agencies for the operation of Follow Through projects including meaningful career development for teacher aides and other paraprofessional personnel; limited amount of additional funds are available for conducting expanded demonstrations of successful educational practices; (2) discretionary grants made primarily to institutions of higher education or educational regional laboratories for the development and implementation of the instructional approaches in the projects. In addition, grants are awarded to and contracts made with public and private organizations for project evaluation, documentation and dissemination. Federal funds made available under this Title will be used to supplement, not to supplant, existing funds. JOINT FUNDING: This program is suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Discretionary project grants or contracts - approved local educational agencies, public and private institutions of higher education, State educational agencies or other approved public or private educational or research agencies and organizations are eligible.

**Beneficiary Eligibility:** Public and private school children from low-income families. With rare exceptions, at least half the poor children in each project must be graduates of a full-year Headstart or similar preschool program.

**Credentials/Documentation:** Community must verify, subject to Follow Through review, its ability to provide full range of comprehensive services. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local Governments. Community must also verify the inclusion in project of children who are low-income according to the OMB poverty Index.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications must be coordinated with local Policy Advisory Committee. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications must be sent to the Department of Education, Application Control Center, Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Deputy Assistant Secretary for Compensatory Education, recommends projects to the Assistant Secretary for Elementary and Secondary Education for approval. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** The deadline date is usually published in the Federal Register in Mid-Winter. The deadline date for fiscal year 1982 will be announced in the Federal Register at that time.

**Range of Approval/Disapproval Time:** 30 to 120 days.

**Appeals:** Financial assistance shall not be suspended for failure to comply with applicable terms and conditions except in emergency situations, nor shall an application for refunding be denied, unless the recipeint agency has been given reasonable notice and opportunity to show cause why such action should not be taken nor shall financial assistance be terminated for failure to comply with applicable terms and conditions unless the recipient has been afforded reasonable notice and opportunity for a full and fair hearing.

**Renewals:** Agreements are renegotiated annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** A local nonfederal share of not less than 20 percent of the total (combined Federal and nonfederal) approved cost of the project is required except where a waiver is granted. The use or the coordination, or both, of other resources and programs is encouraged, i.e., Federal funds available to local eduational agencies under Title I, Elementary and Secondary Education Act, may be used in conjunction with Follow Through funds.

**Length and Time Phasing of Assistance:** Discretionary grants vary depending on the project. Contracts generally are limited to one year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with OMB Circular No. A-102 (Attachments H and I) and the Education Department General Administrative Regulations for Direct Project Grant and Contract Program, Part 75 and 77.

**Audits:** In accordance with OMB Circular No. A-102 (Attachment C) and the Education Department General Administrative Regulations for Direct Project Grant and Contract Programs, Parts 75 and 77.

**Records:** In accordance with OMB Circular No. A-102 (Attachment C) and the Education Department General Administrative Regulations for Direct Project Grant and Contract Programs, Parts 75 and 77.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0502-0-1-501.

**Obligations:** (Grants) FY 81 $26,250,000; FY 82 est $0; FY 83 est $0. (This program will be phased into the consolidated education grants to States.)

**Range and Average of Financial Assistance:** Grants for local projects $64,000 to $1,105,000; $234,500. Grants and Contracts for Demonstration, $89,000 to $374,500; $187,500. Grants to local projects for Resource Centers $23,000 to $207,500; $91,500. (1981 data. Subsequent data not yet available.) $53,500 to $344,500; $148,500.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 84 projects were funded, serving approximately 37,000 children. In fiscal year 1982, an estimated 84 projects will be funded. In addition to the currently funded local educational agencies and the 16 model sponsors, 21 resource centers are being funded to demonstrate successful Follow Through educational practices to interested persons. (1981 data. Subsequent data not yet available.)

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 CFR, Part 215 (revised as of July 1, 1981) Follow Through Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Follow Through, Compensatory Education Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, ROB No. 3, 7th and D Sts., Washington, DC 20202. Telephone: (202) 245-3081. Contact: Wilbert Cheatham.

**RELATED PROGRAMS:** 10.550, Food Distribution; 84.010, Educationally Deprived Children—Local Educational Agencies; 84.011, Migrant Education—Basic State Formula Grant Program; 84.012, Educationally Deprived Children—State Administration; 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children.

**EXAMPLES OF FUNDED PROJECTS:** Grants for carrying out local Follow Through Projects: Follow Through local grantees are responsible for a total program of effort in kindergarten through third grade with the educational effort making up only one of the program components. In addition to recognizing a variety of instructional strategies, Follow Through recognizes the relationship between educational development and the physical, social and emotional well-being of the child by providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition and such other areas which supplement basic services already within the school system. Grants to Local Follow Through Projects for Expanded Demonstration Activities: Certain local Follow Through Projects have been awarded additional funds to create nationwide awareness and adoption of their successful educational practices. These demonstration centers or "Resource Centers", as they are called, have been validated for the effectiveness of their educational products and practices by the Joint Dissemination Review Panel (JDRP) in the Department of Education. Resource Centers are exemplary projects which demonstrate and disseminate their successful educational practices so that other local school districts may select, and adopt, the validated innovations. Grant or Assistance Contracts for Demonstration (Sponsors): Sponsor grants are grants for the development and implementation of the educational approaches used in most local Follow Through projects. The approaches subscribe to a number of basic theories of learning and child development and are embodied in different models, which are being implemented at one or more local sites.

**CRITERIA FOR SELECTING PROPOSALS:** All references are from 34 CFR Part 215 (revised as of July 1, 1981). A. GRANT FOR

CARRYING OUT LOCAL FOLLOW THROUGH PROJECTS: Section 215.13 - Selection of grantees and application procedures and Section 215.15 - Selection Criteria for refunding of projects; B. GRANTS TO LOCAL FOLLOW THROUGH PROJECTS FOR EXPANDED DEMONSTRATION ACTIVITIES: Section 215.15a - Additional funds for demonstration; C.GRANTS OR ASSISTANCE CONTRACTS FOR DEMONSTRATION SPONSORS: Section 215.51 - Eligible projects and Section 215.52 - Selection Criteria.

## 84.015 NATIONAL RESOURCE CENTERS AND FELLOWSHIPS IN INTERNATIONAL STUDIES

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Amendments of 1980, Title VI, Section 602; Public Law 96-374; 20 U.S.C. 1122.

**OBJECTIVES:** Centers: To promote instruction in those modern foreign languages, area and international studies critical to national needs by supporting the establishment, strengthening and operation of such programs at colleges and universities. Fellowships: To meet the critical needs of the United States for experts in modern foreign languages, area studies, and world affairs by supporting fellowships for advanced study at institutions for higher education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Centers: Funds may be used for instructional costs of language and area and language and international studies programs, for administration, lectures and conferences; library resources and staff, and for staff travel. Fellowships: Grants include tuition and basic stipend. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Centers: Accredited American colleges and universities. Applying institutions must provide evidence of existing resources and institutional commitment to language and area and international studies through a curriculum that provides instruction dealing with a particular world area and its languages, with comparative world area studies, or with the international aspects of professional or other fields of study. Fellowships: Accredited institutions of higher education offering comprehensive graduate language and area and international studies are eligible to apply for award quotas.

**Beneficiary Eligibility:** Centers: Students enrolled at applying institutions. Fellowships: Candidates must be U.S. citizens, or resident aliens training in modern foreign languages and/or related area studies programs. Training must be undertaken at a graduate school which has a quota of National Resource fellowships.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Eligible institutions may submit proposals for the funding of Centers only, fellowships only, or both when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of proposals are available from the Centers and Fellowships Branch, DATR. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Centers: Final recommendations are made to the Secretary of Education following advice from a panel of consultants and according to selection criteria. Fellowships: The student should contact his/her sponsoring institution for information concerning application forms, deadlines, and related matters. Institutional proposals are approved or disapproved by the Secretary of Education.

**Deadlines:** Projected closing date is November 5, 1982.

**Range of Approval/Disapproval Time:** About 90 days.

**Appeals:** None.

**Renewals:** Higher education institutions currently receiving funds for two- or three-year phased program support may submit annual proposals for the continuation of such support. New students seeking fellowships may apply to the institutions annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Centers: Grants are awarded for 12 month periods, subject to renewals of 1 or 2 years. Payments are made as stipulated in the grant. Fellowships: Academic year payments are made by the institutions during the term of the fellowships. If summer fellowships are issued, they will be for a summer session in which the equivalent of an academic year's foreign language study is completed.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Centers: All programs must provide final reports upon completion of the program. Financial reports required from programs operating under grants. Fellowships: Terminal reports from award recipients.

**Audits:** Centers: All fiscal records will be subject to audit by ED at any time within 3 years after expiration of the grants. Fellowships: Fiscal records of institutions administering fellowship funds will be subject to audit by ED at any time within 5 years after the close of the fiscal year in which expenditures are liquidated.

**Records:** All records supporting claims under grant or relating to the accountability for awarded funds must be available upon request: (1) for 3 years after close of the fiscal year in which contract was liquidated; or (2) until the grantee is notified of completion of Federal financial audit, whichever is later. Fellowships: All records bearing on the receipt and expenditure of funds under the program must be available for inspection by ED (1) for 3 years after the fiscal year in which expenditures are liquidated or (2) until audit, or for 5 years after grant or (3) until resolution of any audit questions.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) Centers: FY 81 $10,500,000; FY 82 est $8,123,000; and FY 83 est $5,746,000. Fellowships: FY 81 $6,100,000; FY 82 est $4,980,000; and FY 83 est $2,850,000.

**Range and Average of Financial Assistance:** Centers: $43,380 to $225,000; $116,666. Fellowships: Academic year, $7,000 (average flat rate of assistance).

**PROGRAM ACCOMPLISHMENTS:** Centers: In fiscal year 1981, 90 National Resource Centers were funded. In fiscal year 1982, 90 National Resource Centers are being funded. Fellowships: In fiscal year 1981, approximately 765 graduate fellowships were awarded for studying modern foreign languages. The program will fund approximately 650 in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR 80: See Federal Register, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Advanced Training and Research, International Education Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, ROB-3, 7th and D Streets, S.W. Washington, DC 20202. Telephone: (202) 245-2356, Contact: Joseph Belmonte.

**RELATED PROGRAMS:** 84.016, Undergraduate International Studies and Foreign Language Program; 84.017, International Research and Studies; 84.018, Teacher Exchange; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad; 84.022, Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** Cornell University/Center for Analysis of World Food Issues - Offers teaching programs at both the Undergraduate and Graduate levels, with a wide variety of course offerings in several departments. In addition, Center has good coverage of food problems (production and consumption) in specific regions of the world as well as in global terms. University of Washington/East Asia Studies Center - Offers training programs in a wide variety of disciplines at both the Undergraduate and Graduate levels and in professional schools. Tufts University/Fletcher School of Law and Diplomacy - Offers a core multidisciplinary training program in international economics, international politics, diplomatic history, and international law and organization. University of Wisconsin/Latin American Studies Center - Courses are offered in many disciplines at the undergraduate level in all participating campuses. The Madison and Milwaukee campuses offer extensive graduate and some professional training programs in Latin American Studies, as well.

**CRITERIA FOR SELECTING PROPOSALS:** The following numbers refer to the Code of Federal Regulations, (34 CFR Parts 655 and 656) apply to the Centers and Fellowships Program. Criteria for selection of centers listed in the Education Department General Administrative Regulations 34 CFR 655.31, 656.31 and 656.32. The Secretary will weigh criteria using points indicated in 656.31. Parts 656.31 and 656.33 give the criteria for determination of institutional fellowship quotas.

## 84.016 UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE PROGRAMS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, as amended by the Education Amendments of 1980, Title VI, Section 604; Public Law 96-374, amended; 20 U.S.C. 1124.

**OBJECTIVES:** The Undergraduate International Studies and Foreign Language Program issues awards to institutions of higher education and public and non-profit private agencies and organizations. The purpose of the awards is to: (1) assist institutions of higher education to plan, develop, and carry out a comprehensive program to strengthen and improve undergraduate instruction in international studies and foreign languages, and (2) assist associations and organizations to develop projects that will make an especially significant contribution to stregthening and improving undergraduate instruction in international studies and foreign languages. Projects integrating Master's degree programs with undergraduate training are eligible for support.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for instructional costs of international studies programs; administration, lectures and conferences; library facilities and staff; and for staff travel. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited American colleges and universities, and non-profit private agencies and organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** When funds are available for the support of new programs, announcements are issued in the Federal Register. Application forms and guidelines for submission of proposals are available from the Undergraduate International Studies and Foreign language Program, International Education Program, Office of Postsecondary Education. This program is subject to the provisions of OMB Circular No.A-110.

**Award Procedure:** Final recommendations are made to the Secretary of Education following advice from a panel of consultants in accordance with the published criteria.

**Deadlines:** A closing date generally appears in Federal Register in September.

**Range of Approval/Disapproval Time:** About 90 days.

**Appeals:** Not applicable.

**Renewals:** Institutions of higher education and associations and organizations currently receiving funds for two or three year phased program support may submit annual proposals for the continuation of such support.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Grants are awarded for 12 month periods, subject to renewals of one or two years. Payments are made as stipulated in the grant.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** All programs must provide final reports upon completion of the program. Financial reports are required for programs operating under grants.

**Audits:** All fiscal records will be subject to audit by HHS at any time within 3 years after expiration of the grant.

**Records:** All records supporting claims under a grant or relating to the accountability for awarded funds must be available upon request: (1) for 3 years after close of the fiscal year in which contract was liquidated; or (2) until the grantee is notified of completion of Federal financial audit, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $2,000,000; FY 82 est $1,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $35,000 to 80,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 46 undergraduate programs were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Parts 655 and 658.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of International Services and Improvement, International Studies Branch, Office of Assistant Secretary for Postsecondary Education, Department of Education, ROB-3, 7th and D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-2794, Contact: Susanna C. Easton.

**RELATED PROGRAMS:** 84.015, National Resource Centers and Fellowships in International Studies; 84.018, Teacher Exchange; 84.019, Fulbright-Hays Training Grants—Faculty Research Abroad; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad; 84.022, Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** In cooperation with the Modern Language Association and the Educational Testing Service, the American Council on the Teaching of Fooreign Languages used federal funds to design a pilot project to adapt the oral proficiency testing methods developed by the U.S. Foreign Service Institute for use by foreign language teachers at institutions of higher education. This project will provide the first standardized method for evaluating how well students have learned to speak a foreign language. The pilot project focuses on French and Spanish in the first year, and may add German and Italian in a second phase of the project. University of Toledo,-Foreign Language and Culture Component for the Undergraduate Business Curriculum conducted a project designed to encourage students to study foreign languages and cultures, and to utilize these skills in future careers in business. Both the American Council on Education and the American Assembly of Collegiate Schools of Business have stressed the need to "internationalize" business education and to include foreign language components in such training. The University of Toledo is improving the way it trains future business leaders by (1) modifying existing language and culture courses in

Spanish, French, German and Russian by adding relevant business concepts and terminolody, and (2) creating new or revised courses with international content in business, financing, marketing, and management. Broward Community College-Internationalizing the Undergraduate Curriculum, A Community College Approach-The goal of this project is to increase international understanding of students at Broward Community College by studying people of the world, their cultures, and their languages. This is to be accomplished by providing increased opportunities for international/intercultural education through the revision of existing courses and development of new courses with global emphasis; development of modules with international perspectives for technical education programs; increased library and audio-visual holdings of an international nature; increased capacity in language instruction; development of an Associate in the Arts degree program in International/Intercultural Education; and Expanded opportunities in international education through non-credit continuing education courses.

**CRITERIA FOR SELECTING PROPOSALS:** In addition to evaluation on the basis of criteria found in the Education Division General Administrative Regulations (EDGAR) at 34 CFR Parts 75 and 77, the Secretary will further evaluate applications for Federal support for international studies programs in accordance with the criteria published of 34 CFR Parts 655 and 658, 45 CFR 86872.

## 84.017 INTERNATIONAL RESEARCH AND STUDIES

### (HEA Title VI Research and Studies)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Amendments of 1980, Title VI, Section 605; Public Law 96-374; 20 U.S.C. 1125.

**OBJECTIVES:** To improve foreign language and area studies training, in the United States through support of research and studies, experimentation, and development of specialized instructional materials.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** To make studies and surveys to determine the need for increased or improved instruction in modern foreign languages and other studies needed to provide a full understanding of the corresponding areas, regions, or countries; to conduct research on more effective methods of teaching these languages and to develop specialized materials for use in training students and teachers of these languages or related area studies.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education; qualified individual researchers; State educational agencies; public school systems; other educational and professional organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Formal applications should be prepared in response to announcements of program mandatory requirements and closing dates in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are reviewed by Department of Education Specialists and outside consultants in the appropriate fields. Research contracts or grants are awarded on the basis of national educational needs and priorities and on the merit of the proposals, including soundness of research design and proposed procedures; qualifications of principal investigator; adequacy of institutional facilities for executing the project; cost of the proposed research.

**Deadlines:** To be announced.

**Range of Approval/Disapproval Time:** 5 to 6 months.

**Appeals:** Not applicable.

**Renewals:** When additional time is required to complete a project, conducted under a contract, continuation of support may be negotiated, subject to examination of accomplished work. Projects conducted under a grant may be phased, with the phases following the first phase subject to renewal on a non-competitive basis. Renewals of grants, which were not included in the original negotiations, will be considered in competition with all other new applications.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Depends on project, but is generally no longer than 18 months. Time phasing of projects is determined during the negotiation process.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final report or subject data as established through negotiation; interim progress reports; financial report.

**Audits:** All fiscal records will be subject to audit by ED at any time within 3 years after expiration of the contract or grant.

**Records:** All records supporting claims under grants or relating to accountability for awarded funds must be available on request (1) for 3 years after close of the fiscal year of grant liquidation or (2) until the grantee is notified of completion of the Federal audit, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** FY 81 new awards $956,618 and supplements $224,631; FY 82 est new awards approximately $617,500 and supplements approximately $222,500; and FY 83 est $216,000.

**Range and Average of Financial Assistance:** $6,000 to $100,000; $40,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 23 grants were negotiated totaling $946,564, one contract was negotiated totaling $9,854, and six supplements to on-going grants were negotiated, totaling $224,631.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR 655; 34 CFR 660; International Education Programs (same as Headquarters Office below): Completed Research, List No. 9 may be obtained free from Research Branch, Office of International Education, Department of Education, 7th and D Streets, S.W., Washington, DC 20202.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Advanced Training and Research, International Education Programs, Department of Education, ROB-3, 7th and D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-9819. Contact: Julia A. Petrov.

**RELATED PROGRAMS:** 84.015, National Resource Centers and Fellowships in International Studies; 84.016, Undergraduate International Studies and Foreign Language Program; 84.018, Teacher Exchange; 84.019, Fulbright-Hays Training Grants—Faculty Research Abroad; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad; 84.022, Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** Study of Language Attrition Among Graduates of the Overseas Language Training Centers; the Development of Protocols to Help Teachers Understand and Interpret the Acquisition of a Foreign Language Among Secondary School Students; a Study of Instructional Practices and Second Language Acquisition in the Elementary School; the Development of Computer Assisted Foreign Language Programs: Spanish for Agriculture; a National Survey of Outreach Programs in International Education; the Development of a Textbook for Intermediate-Advanced Portuguese; A Basic Course in Tigrinya; a Guide to the Study of the East European National Minorities, 1919-1980; and others.

**CRITERIA FOR SELECTING PROPOSALS:** CFR 655.31, 660.31 and 660.32 Criteria for selection of applicantions. The Secretary will evaluate applications in accordance with the criteria published in the Federal Register, Part VIII, Department of Education International Education Programs, pp. 86875-6 and 86882-3, on December 31, 1980. Available from the headquarters office. The Secretary will evaluate each criteria listed in paragraphs CFR 655.31 and CFR 660.31 or CFR 660.32. An applicant may receive as much as five or ten points or as low as zero points under each criterion. (20 U.S.C. 1121-1127, 3063-3065.)

## 84.018 TEACHER EXCHANGE

### (Fulbright Exchange)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Mutual Educational and Cultural Exchange Act of 1961; Public Law 87-256; 75 Stat. 527, as amended.

**OBJECTIVES:** To increase mutual understanding between the people of the United States and those in other countries by offering qualified American teachers opportunities to teach in elementary and secondary schools and in some instances postsecondary education institutions abroad, through the exchange of teaching positions with foreign counterparts. There are also opportunities for American educators to participate in short-term seminars abroad.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants to teach abroad provide round-trip transportation for some countries; no transportation is provided for dependents. In most cases, the participant's U.S. salary is continued; for teachers on a leave of absence without salary, a maintenance allowance, paid in the currency of the host country, is based on the host country's cost of living; participants in some seminars are responsible for their own maintenance expenses. Maintenance is provided for seminars in Belgium/Luxembourg, Brazil, India, Israel, Italy, Korea, Mexico, the Netherlands, and People's Republic of China. No dependents are to accompany grantees participating in seminars.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** For teaching positions abroad. Elementary and secondary school teaches, college faculty. For seminars abroad-teachers at different levels and in varying subject fields, social studies supervisors, curriculum directors, and others depending on the specific seminar. Applicants must have at least a bachelor's degree and must be U.S. citizens at time of application; must have at least three years of successful full-time teaching experience to qualify for teaching position abroad; two years for summer seminars, and must be employed currently in the subject field. Evidence of good health and emotional maturity and stability is required.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Biographical data, specific statement of objectives, (administrative) approval for teaching positions, interview report, references, and medical report (if selected).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Office of International Education publishes annual announcement of opportunities and conducts open competition for grants to be awarded. Binational commissions or foundations or other appropriate agency help administer program abroad. Regional interviewing committees in the United States conduct preliminary screening of U.S. applicants.

**Application Procedure:** Applications should be submitted on forms available on request from the headquarters office listed below.

**Award Procedure:** After review of applications and tentative interchange or one-way placement is arranged, candidates are recommended to the U.S. International Communication Agency and to the appropriate authorities abroad. Candidates are recommended to participate in seminars abroad by the Department of Education. Final approval is sought from the Board of Foreign Scholarships for grants to teach or to attend summer seminars abroad.

**Deadlines:** October 15 of the year preceding grant to teach abroad during an academic year or to attend a seminar overseas during the summer.

**Range of Approval/Disapproval Time:** Applicants notified in March and April of grants for summer seminars; April or May for school-year assignments.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** From 3 weeks to academic year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Individual reports are submitted.

**Audits:** Subject to audit within 5-year period.

**Records:** Retained for 3 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $580,000 U.S. dollars and U.S.-owned foreign currency; and FY 82 est $500,000 in U.S. dollars; $180,000 in U.S. owned foreign currency; and FY 83 est-Unknown. In addition, American teachers going to Britian, France, Germany, Switzerland and Canada receive a leave of absence with pay from their respective schools or school systems. American educators going to other countries are paid maintenance allowances in foreign currency by binational Educational Commissions abroad. British, French, German, Swiss and Canadian teachers bring their salaries with them to the United States on a reciprocal basis. Also, the British Ministry of Education and Science provides a supplementary grant to British exchange teachers. With the exception of some programs in Italy, and the Netherlands, seminar participants receive travel grants.

**Range and Average of Financial Assistance:** Setting an average is not feasible because of variations between participating countries and programs.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1981-82, 199 U.S. teachers exchanged teaching positions with 199 teachers from four foreign countries. In addition, two American teachers went abroad to teach in two countries. Grants were awarded to 138 American teachers and supervisors for participation in 9 summer seminars. A total of 2,000 applications were received from U.S. educators.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 22 CFR 61; "Opportunities Abroad for Teachers, 1982-83," Catalog No. E-81-14014, available from Superintendent of Documents, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Teacher Exchange Branch, Division of International Services and Improvement, International Education Programs, Department of Education, ROB-3, 7th & D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-9700, Contact: Ms. Pat Kern McIntyre.

**RELATED PROGRAMS:** 84.010, Educationally Deprived Children—Local Educational Agencies; 84.015, National Resource Centers and Fellowships in International Studies; 84.016, Undergraduate International Studies and Foreign Language Program; 84.017, International Research and Studies; 84.019, Fulbright-Hays Training Grants—Faculty Research Abroad; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad; 84.022, Fulbright-Hays Training Grants-Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** Summer Seminars either using foreign currency in India, or U.S. dollars in Brazil, Korea, Italy, Mexico and People's Republic of China.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.019 FULBRIGHT-HAYS TRAINING GRANTS—FACULTY RESEARCH ABROAD

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays), Section 102(b)(6) and 105(d); Public Law 87-256; 22 U.S.C. 2451. Agricultural Trade Development and Assistance Act of 1954, Section 104(b)(2) and (3); Public Law 83-480.

**OBJECTIVES:** To help universities and colleges strengthen their programs of international studies through selected opportunities for research and study abroad in foreign language and area studies; to enable key faculty members to keep current in their specialties; to facilitate the updating of curriculums; and to help improve teaching methods and materials.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Awards will not be available for projects focusing primarily on Western Europe nor in countries where the United States has no diplomatic relations. Financial provisions include a stipend in lieu of salary; cost of round-trip jet economy air fare for award recipient only; baggage allowance of no more than 50 pounds excess baggage each way; project allowance of up to $250 to purchase expendable materials and supplies; and local travel allowance for necessary project-related expenses.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Candidates for faculty research awards must be U.S. citizens or nationals, with whom institutions have long-term employment relationships (visiting faculty members are ineligible); educators experienced in foreign language and area studies. Candidates must have engaged in at least half-time teaching or research relevant to area of specialization during the two years preceding the date of the award; possess adequate skills in the language of the country or in a language germane to the project or region where the project would be undertaken; present a detailed description of proposed project significant and feasible for the area and time concerned; present a statement from employing institution describing how project will contribute to institution's plans for developing programs in foreign language area studies. If the applicant plans to work in the U.S.S.R., Bulgaria, Czechoslovakia, Poland, Hungary, Romania, Yugoslavia and the German Democratic Republic, he must have applied to the International Research and Exchange Board (IREX), 655 Third Ave., New York, New York 10017. If applicant plans to conduct research in the People's Republic of China it is recommended that he also apply to the Committee on Scholarly Communications with the People's Republic of China, National Academy of Sciences, 2101 Constitution Ave., Washington, D.C. 20418.

**Beneficiary Eligibility:** Accredited American colleges or universities that offer instruction in foreign languages, and area studies.

**Credentials/Documentation:** See Applicant Eligibility. Project outlines should include proposed time schedule, names of collaborators, estimate of project costs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Eligible institutions will be responsible for accepting, screening, and forwarding to the Research Branch, Division of Advanced Training and Research, International Education Programs, those individual applications which meet the institution's technical and academic criteria. Candidates for faculty research awards apply directly to their employing institutions.

**Application Procedure:** See Federal Register. Faculty members may address requests for general information to the Research Branch, Division of Advanced Training and Research, but should obtain application forms from the appropriate office at their employing institutions. Applications should be submitted directly to the institution, not to the Division.

**Award Procedure:** The Division of Advanced Training and Research will make the initial selection and recommendation of award recipients with the advice of a panel of specialists in foreign language, area studies, and world affairs, and comments by U.S. embassies and binational commissions in the proposed countries of research. The selections are subject to review and final approval by the Board of Foreign Scholarships.

**Deadlines:** Generally, the last week in October or the first week in November of the year preceding the year of study. Exact date is announced in the Federal Register.

**Range of Approval/Disapproval Time:** 200 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Three to twelve months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Award recipient: terminal report; institution: fiscal year report.

**Audits:** Fiscal records of institutions subject to ED audit at any time within 5 years after close of the fiscal year in which expenditures are liquidated.

**Records:** Records bearing on receipt and expenditure of grant funds must be made available for ED inspection (1) for 3 years after the close of the fiscal year in which expenditures are liquidated if departmental audit has occurred by that time, (2) until audit or for 5 years following end of budget period in which grant was liquidated, whichever is later, or (3) until resolution of outstanding audit questions.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $565,025; FY 82 est $264,000; and FY 83 est $176,000.

**Range and Average of Financial Assistance:** $4,280 to $21,940; $12,296.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 24 awards were made. In fiscal year 1981, 49 awards were made. In fiscal year 1982, an estimated 20 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR 662; Federal Register. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research Branch, International Education Programs, Department of Education, Room 3669 ROB-3, 7th and D Streets, S.W., Washington, DC 20202. Telephone: Robert Dennis (202) 245-2761.

**RELATED PROGRAMS:** 82.001, Educational Exchange—Graduate Students; 82.002, Educational Exchange—University Lecturers (Professors) and Research Scholars; 84.015, National Resource Centers and Fellowships in International Studies; 84.016, Undergraduate International Studies and Foreign Language Program; 84.017, International Research and Studies; 84.018, Teacher Exchange; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad; 84.022, Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** The Beginnings of Literacy in Lesotho: The Role of the Newspaper; Transnational Integration and Industrial Development (Brazil); Presidency, Bureaucracy and Policy in Mexico; The Relevance of Recent Korean Archaeological Work for Early Korean-Japanese History; a Study of Accentual Innovations in the Kyoto-Type Dialects; and The Hungarian Economy, 1946-1978.

**CRITERIA FOR SELECTING PROPOSALS:** EVALUATION CRITERIA: 1) Project Design. 2) Project Objectives. 3) Need for Overseas Training and Research Abroad. 4) Methodology. 5) Applicant's Academic and Professional Qualifications. 6) Applicant's Foreign Language Competence. 7) Applicant's suitability. 8) Adequacy of Budget. 9) Cost Effectivenss. 10) Production of Data. 11) Overseas Facilities and Contacts.

## 84.020 FULBRIGHT-HAYS TRAINING GRANTS—FOREIGN CURRICULUM CONSULTANTS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays), Sections 102(b) (6) and 105(d); Public Law 87-256; 75 Stat. 527.

**OBJECTIVES:** To benefit American education at all levels by helping institutions bring specialists from other countries to the United States to assist in planning and developing local curriculums in foreign language and area studies.

**TYPES OF ASSISTANCE:** Project Grants; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:** Office Of Postsecondary Education, Department of Education finances costs of jet economy international travel to and from U.S. assignment via Washington, DC, for the consultant only; unaccompanied baggage allowance for a maximum of 300 pounds round trip; cost of health and accident insurance, for consultant only, under a Government-contracted group insurance policy; 70 percent of a $1,300 monthly maintenance allowance and an accompanying dependents allowance. Funds from the grantee institution will provide 30 percent of the $1,300 monthly maintenance allowance and other project-related expenses (local travel, etc.) for the consultant in the United States.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** American institutions eligible to apply for Foreign Curriculum Consultant grants are as follows: State departments of education, local public school systems. Institutions of higher education accredited by a nationally recognized accrediting agency or association, private nonprofit educational organizations, or a consortium of these institutions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Foreign educators participating in the consultant program are required to have at least five years of experience as an educator in foreign language and/or area studies and appropriate related experience in curriculum planning and development, preparation of teaching materials, teacher training; speak English fluently; have an exchange-visitors visa. Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Proposals for a grant to secure the services of a Foreign Curriculum Consultant should be submitted to the Application Control Center, Department of Education, Washington, DC 20202. (See Federal Register). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Office Of Postsecondary Education publicizes details and grant availabilities and receives proposals from American educational institutions. Assisted by a panel of experts from the academic community, the Office of Postsecondary Education makes preliminary recommendations to the Secretary of Education. All recommended proposals are reviewed by the presidentially appointed Board of Foreign Scholarships, and any ED grants for a Foreign Curriculum Consultant are made only with the Board's approval. Proposals approved at this stage are forwarded to appropriate U.S. diplomatic mission abroad to recruit candidates. The Board of Foreign Scholarships reviews and approves resulting slate of candidates. Host institutions make selection of preferred individual.

**Deadlines:** Generally, the first week in November of the year preceding the year of consultancy.

**Range of Approval/Disapproval Time:** 3 and one-half months.

**Appeals:** Not applicable.

**Renewals:** Consultants are not reassigned for the subsequent year, unless the institution submits a new proposal in the competition for that year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost-sharing program.

**Length and Time Phasing of Assistance:** Length of assistance, 8 to 10 months. Payments (except for international travel, where applicable, from excess foreign currency) are made to host institutions at the beginning of the fall term.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Institutions submit terminal project reports; institutions submit financial reports. Records must be maintained to support the institution's actual contribution from non-Federal funds.

**Audits:** All fiscal records subject to ED audit at any time within 5 years after the close of the fiscal year in which expenditures are liquidated.

**Records:** All records bearing on receipt and expenditures of grant funds must be made available for inspection by ED (1) for 3 years after close of the fiscal year in which expenditures are liquidated, if departmental audit has occurred; (2) until audit or for 5 years following budget grant; (3) until resolution of outstanding grant questions.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $214,564; FY 82 est $136,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $10,745 to $17,543; $14,304.

**PROGRAM ACCOMPLISHMENTS:** Consultant services have been directed toward developing a non-Western European studies component in secondary education or in the undergraduate college curriculum. The consultants have also participated in a variety of adult education activities in the course of their stay.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Part 662. Federal Register, Volume 45 - No. 231, November 28, 1980.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Assistant Secretary for Postsecondary Education, Department of Education, Washington, DC 20202. Telephone: Gwendolyn Lark (202) 245-2794.

**RELATED PROGRAMS:** 82.001, Educational Exchange—Graduate Students; 82.002, Educational Exchange—University Lecturers (Professors) and Research Scholars; 84.016, Undergraduate International Studies and Foreign Language Program; 84.017, International Research and Studies; 84.018, Teacher Exchange; 84.019, Fulbright-Hays Training Grants—Faculty Research Abroad; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad; 84.022, Fulbright-Hays—Training Grants—Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** Five African consultants, four East Asian consultants, one Middle East consultant, one West European consultant, one Eastern European consultant, one Latin American consultant and two South Asian consultants.

**CRITERIA FOR SELECTING PROPOSALS:** Refer to 34 CFR Part 662 (section 662.43), Federal Register, Vol. 45 - No. 231, November 28, 1980.

## 84.021 FULBRIGHT-HAYS TRAINING GRANTS—GROUP PROJECTS ABROAD

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Mutual Educational and Cultural Exchange Act of 1961 (Fulbright Hays), Section 102(b)(6) and 105(d); Public Law 87-256; 22 U.S.C. 2451. Agricultural Trade Development and Assistance Act of 1954, as amended, Section 104 (b) (2); Public Law 83-480; 7 U.S.C. 1691.

**OBJECTIVES:** To help educational institutions improve their programs in foreign language and area studies.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for international travel, round-trip jet economy; maintenance allowances; purchases of artifacts, books, other teaching materials; rent for instructional facilities in the country of study; project-related travel in the overseas area; clerical and professional services in the country of study. Projects involving construction of facilities or the purchase of real estate are not eligible for support. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** American institutions eligible to apply for Group Projects include universities; 4-year colleges; community and junior colleges; State departments of education; private nonprofit educational organizations; consortiums of institutions.

**Beneficiary Eligibility:** Individuals participating in Group Projects must be U.S. citizens or nationals; faculty members in foreign language or area studies, experienced educators responsible for conducting, planning, supervising programs in foreign language or area studies, at the elementary, secondary, or junior college levels; or graduate students or upperclassmen who plan teaching careers in foreign language, area studies, or world affairs.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** An institution or organization interested in the program should plan and propose a group project that would significantly improve its program in foreign language and area studies. Specific guidelines for preparation of proposals as published in the Federal Register and subsequent submission are available upon request from the Office of International Education. The institution or organization must give assurance that the individuals it nominates to undertake the projects are appropriately qualified. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** With the advice of a panel of academic consultants and an assessment of the feasibility and suitability of each proposal by U.S. embassies and binational commissions in the proposed countries of study, the Office of International Education will evaluate the proposals and make initial selection and recommendation of grant recipients. The selections are subject to review and final approval by the Board of Foreign Scholarships.

**Deadlines:** Generally, the first week in November of the year preceding the year of overseas activity.

**Range of Approval/Disapproval Time:** About 120 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Determined by the duration of the project, ranging from 6 weeks to 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Terminal program reports and financial reports from the grantee.

**Audits:** All fiscal records subject to ED audit at any time within 5 years after close of the fiscal year in which expenditures are liquidated.

**Records:** Records bearing on receipt and expenditure of grant funds must be made available for inspection by ED (1) for 3 years after the close of the fiscal year in which expenditures are liquidated if departmental audit has occurred by that time, (2) until audit, or for 5 years following the end of budget period in which grant was liquidated, whichever is later, or (3) until resolution of outstanding audit questions.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $2,028,963 U.S. dollars, $764,718 foreign currencies; FY 82 est $769,360 U.S. dollars, $816,600 foreign currency; FY 83 est $468,000 U.S. dollars, $510,000 foreign currency.

**Range and Average of Financial Assistance:** $19,536 to $358,209; $69,453.

**PROGRAM ACCOMPLISHMENTS:** Projects have had an effect on the curriculum through new and expanded courses and faculty training in the use of new materials, particularly in non-Western studies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Part 662, Federal Register, Vol. 45 - No. 231, November 28,1980. Federal Register, available from Superintendent of Documents, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Assistant Secretary for Postsecondary Education, Department of Education, ROB-3, 7th and D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-2794. Contact: Ralph Hines.

**RELATED PROGRAMS:** 82.001, Educational Exchange—Graduate Students; 82.002, Educational Exchange-University Lecturers (Professors) and Research Scholars; 84.016, Undergraduate International Studies and Foreign Language Program; 84.017, International Research and Studies; 84.018, Teacher Exchange; 84.019, Fulbright-Hays Training Grants—Faculty Research Abroad; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.022, Fulbright Hays Training Grants—Doctoral Dissertation Research Abroad.

**EXAMPLES OF FUNDED PROJECTS:** New York State Education Department conducted workshops for the Development of Curriculum Materials and Instructional Techniques on Kenya. Elementary and secondary social studies teachers from New York will particpate in a training and curriculum development group project in Kenya during the summer of 1982. The main outcome of this Institute will be the establishment of exemplary and cross-cultural programs in international education which will feature a systematic integration of resources from bilingual and ESL departments, foreign language departments and social studies departments. Stanford University: Inter-University Program for Chinese Language Studies in Taipei, Twelve Months: Stanford University has enrolled thirty-five undergraduate and graduate students, nationally recruited, with at least two years prior study in Chinese language are participating in an intensive Chinese language training program (with emphasis on Mandarin) in Taiwan. State University of New York, Sromy Brook is sponsoring a study program in Poland. Advanced undergraduates, graduate students, and junior faculty from U.S. academic institutions are participating in an academic year group project in Poland. The program provides opportunities to develop and pursue scholarly interest in Slavic studies and East Euopean affairs by participating in a semester of language and social sciences study at the University of Wrocaw, followed by a further semester of in depth area studies at specific institutes of the Universities of Poznan, Warsaw, or Wrocaw.

**CRITERIA FOR SELECTING PROPOSALS:** Refer to 34 CFR Part 662 (Section 662.34), Federal Register, Vol. 45 - No. 231, November 28, 1980.

## 84.022 FULBRIGHT-HAYS TRAINING GRANTS—DOCTORAL DISSERTATION RESEARCH ABROAD

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Mutual Educational and Cultural Exchange Act (Fulbright-Hays Act), Section 102(b)(6) and 105 (d); Public Law 87-256; 22 U.S.C. 2451. Agricultural Trade Development and Assistance Act of 1954, Section 104 (b) (2) and (3); Public Law 83-480.

**OBJECTIVES:** To provide opportunities for advanced graduate students to engage in full time dissertation research abroad in modern foreign language and area studies. The program is designed to develop research knowledge and capability in world areas not widely included in American curriculums.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Dollar funds will be available to enable doctoral candidates to complete field research for their dissertations. Awards will neither be available for projects focusing primarily on Western Europe nor in countries where the United States has no diplomatic representation. Financial provisions include basic stipend computed on the cost of living in the country where research is to be conducted; cost of round-trip jet economy air fare for award recipient only; baggage allowance of no more than 50 pounds excess baggage each way; dependents allowance for accompanying dependents based on cost of living in host country; project allowance of up to $500 to purchase expendable materials and supplies; local travel allowance for necessary project-related transportation; cost of health and accident insurance for award recipient only; tuition at a foreign institution when necessary to facilitate the satisfactory completion of the project.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Candidate for a Dissertation Research Fellowship must be a citizen or national or permanent resident of the United States; plan to teach in a U.S. institution of higher education; be enrolled in an eligible U.S. institution and have been admitted to candidacy for a doctoral degree in foreign language and area studies; provide evidence of adequate foreign language skills to carry out effectively the proposed research; present feasible research project. If applicant plans to conduct research in the U.S.S.R., Bulgaria, Czechoslovakia, Poland, Hungary, Romania, Yugoslavia, and the German Democratic Republic, he must have applied to the International Research and Exchanges Board (IREX), 655 Third Avenue, New York, NY 10017. If applicant plans to conduct research in the People's Republic of China, it is recommended that he also apply to the Committee on Scholarly Communication with the People's Republic of China (CSCPRC), National Academy of Sciences, 2101 Constitution Avenue, Washington, DC 20418.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The graduate dean of a college or university will be responsible for accepting, screening, and forwarding to the Research Branch, Division of Advanced Training and Research, International Education Programs, Office of Postsecondary Education those individual applications which meet the institution's technical and academic criteria. Candidates for dissertation research fellowships apply directly to the institutions at which they are enrolled in a PhD. program, not to the Department of Education.

**Application Procedure:** Institutions should request application materials from the Research Branch Division of Advanced Training and Research, International Education Programs, Office of Postsecondary Education. Students should address requests for application forms to the office of the graduate dean at the graduate schools at which they are enrolled in a Ph.D. program.

**Award Procedure:** The Research Branch, Division of Advanced Training and Research, Office of Postsecondary Education will make initial selection and recommendation of award recipients with the advice of a panel of specialists in foreign language and area studies and comments by U.S. embassies and bi-national commissions in the proposed countries of research. Selections are subject to review and final approval by the Board of Foreign Scholarships.

**Deadlines:** Generally, the last week in October or first week in November of the year preceding the year of study.

**Range of Approval/Disapproval Time:** About 200 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Awards are made for at least 6 but not more than 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fellows: interim and terminal reports; Institutions: fiscal reports.

**Audits:** Fiscal records of institutions subject to ED audit at any time within 5 years after close of the fiscal year in which expenditures are liquidated.

**Records:** Records bearing on receipt and expenditure of funds to be made available for inspection by the General Accounting Office for 3 years after close of fiscal year in which expenditures are liquidated if departmental audit has occurred by that time; until audit or for 5 years following the end of the budget period in which grant was liquidated, whichever is later; or until resolution of any outstanding audit questions.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $2,338,937; FY 82 est $1,047,800; and FY 83 est $688,800.

**Range and Average of Financial Assistance:** $2,705 to $35,075; $12,806.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year in fiscal year 1980, 79 awards were made; in fiscal year 1981, 151 awards were made; fiscal year 1982 estimate is 73 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR 662; Federal Register, available from the Superintendent of Documents, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Research Section, International Education Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, Room 3669 ROB-3, 7th and D Streets, S.W., Washington, DC 20202. Telephone: (202) 245-2761. Contact: John Paul.

**RELATED PROGRAMS:** 82.001, Educational Exchange—Graduate Students; 82.002, Educational Exchange—University Lecturers (Professors) and Research Scholars; 84.015, National Resource Centers and Fellowships in International Studies; 84.016, Undergraduate International Studies and Foreign Language Program; 84.017, International Research and Studies; 84.018, Teacher Exchange; 84.019, Fulbright-Hays Training Grants—Faculty Research Abroad; 84.020, Fulbright-Hays Training Grants—Foreign Curriculum Consultants; 84.021, Fulbright-Hays Training Grants—Group Projects Abroad.

**EXAMPLES OF FUNDED PROJECTS:** Law and Social Change in a Stratified Society - A Case Study from the Eastern Sudan; Viota - The History of a Colombian Coffee Municipality, 1870-1970; Aging and Social Change in Japan-A Study of Adult Common-Interest Associations.

**CRITERIA FOR SELECTING PROPOSALS:** ELIGIBILITY CRITERIA - An applicant must: a) Be citizen of the U.S. or a permanent resident alien; b) Plan a teaching career at the college level; c) Be enrolled at an eligible institution; d) Be admitted to candidacy for a PhD. by the time the fellowship begins; e) Provide evidence of adequate language skills to carry out proposed research; f) Present a project which is feasible; g) For research in Eastern Europe, submit an application to the International Research and Exchanges Board (IREX); h) Have no more than 48 months combined support (including proposed research) under Title VI, HEA and Fulbright-Hays 102(b)(6) programs. EVALUATION CRITERIA - 1) Project Design. 2) Guidance and Supervision. 3) Need for Research/Training Abroad. 4) Methodology. 5) Applicant's Academic Qualifications. 6) Applicant's Foreign Language Competence. 7) Applicant's Suitability. 8) Adequacy of Budget. 9) Cost Effectiveness. 10) Production of Data. 11) Overseas Facilities and Contacts.

## 84.023 HANDICAPPED—RESEARCH AND DEMONSTRATION

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI, Part E; Public Law 91-230 as amended by Public Law 95-49; 20 U.S.C. 1441, 1442.

**OBJECTIVES:** To improve the education of handicapped children through research and development projects, and model programs (demonstrations).

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** To support research and related activities including model programs designed to improve the education of handicapped children, including physical education and recreation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State or local educational agencies, public and private institutions of higher learning, and other public or private educational or research agencies and organizations are eligible to participate in the program.

**Beneficiary Eligibility:** Handicapped children served by grantees/contractors.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications if hand carried should be delivered to: Department of Education Application Control Center, Room 5673, ROB No. 3, 7th & D Sts., S.W., Washington, DC. Mailing address: Department of Education Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202. Applications are reviewed by field readers. Their recommendations are the basis for approval or disapproval by the Secretary of Education. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Department of Education has final approval authority.

**Deadlines:** Specific deadlines are announced annually in the Federal Register. Separate competitions are held for: Model Programs, deadlines usually in December or January; Field Initiated Research, deadline usually October to November; Student Research, deadlines usually in October and March; Directed Research, deadline extremely variable.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** Not applicable.

**Renewals:** Renewed annually, if appropriate, upon staff review and acceptance of evidence of satisfactory performance and availability of funds.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Cost sharing expected on all projects.

**Length and Time Phasing of Assistance:** Research projects, indefinite; phasing dependent upon the needs of individual projects. Demonstration grants under the Handicapped Children's Model Program are supported for up to three years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress and fiscal reports as required by award document. A final report is submitted to the Grants Officer in the Department of Education at completion of project.

**Audits:** Post-audit plus periodic audits during life of project.

**Records:** All recipients of grants or contracts are required to retain all records relative to the grant or contract for a period of 3 years from the termination date of the grant or contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants and contracts) FY 81 $14,993,818; FY 82 est $7,200,000; and FY 83 est This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $4,000 to $500,000; $105,000.

**PROGRAM ACCOMPLISHMENTS:** There were 179 projects funded in 1980, 164 in 1981, and an estimated 90 in 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Research Guidelines published in the Federal Register February 20, 1975, Vol. 40, Number 35, pp. 7408-7430. Revised Regulations and Model Program Guidelines published in the Federal Register August 18, 1978, Vol. 43, Number 161, pp. 36634-36638, and June 18, 1981, Vol. 46, No. 117, pp. 31996-31998.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** For Research: Research Projects Branch, Division of Innovation and Development, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-2275. Contact: Dr. Max Mueller. For Model Programs: Division of Innovation and Development, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-9722. Contact: Joseph Rosenstein.

**RELATED PROGRAMS:** 13.613, Mental Retardation—President's Committee on Mental Retardation; 84.024, Handicapped Early Childhood Assistance; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.028, Handicapped Regional Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:** Career development programming for the severely handicapped; experimental studies on the education of autistic children; intervention strategies for exceptional children; access to learning for handicapped children; improving attitudes toward mentally retarded children.

**CRITERIA FOR SELECTING PROPOSALS:** FUNDING CRITERIA FOR RESEARCH PROGRAMS: The Secretary evaluates new applications for research programs under the following weighted criteria (maximum possible score: 100 points): (a) Plan of operation (10 points), (b) Quality of key personnel (10 points), (c) Budget and cost effectiveness (10 points), (d) Evaluation plan (5 points), (e) Adequacy of resources (5 point), (f) Potential importance (15 points), (g) Probable impact (15 points), and (h) Technical soundness of research and development plan (30 points). (20 U.S.C. 1441. 1442.) FUNDING CRITERIA FOR MODEL PROGRAMS: The Secretary evaluates new applications for model programs under the following weighted criteria (maximum possible score: 100 points): (a) Plan of operation (10 points), (b) Quality of key personnel (7 points), (c) Budget and cost effectiveness (10 points), (d) Evaluation plan (10 points), (e) Adequacy of resources (5 points), (f) Imortance and relevance (10 points), (g) Probable impact (10 points), (h) Consideration as a "model" (15 points), (i) Technical soundness (13 points), (j) Plans for implementation of individualized education programs (5 points), and (k) Coordination with other appropriate agencies (5 points). (20 U.S.C. 1441, 1442.)

## 84.024 HANDICAPPED EARLY CHILDHOOD ASSISTANCE

### (Early Education Program)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Public Law 91-230, Title VI, Part C, 20 U.S.C. 1423, as amended by Public Law 95-49.

**OBJECTIVES:** To support experimental demonstration, outreach and State implementation of preschool and early childhood projects for handicapped children.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are given to projects to demonstrate exemplary services to handicapped children from birth through eight years of age with emphasis below age six. Parent participation, dissemination of information to the professional community and general public, and evaluation of the effectiveness of each project are included.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public agencies and private nonprofit organizations.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not required. Coordination with public schools is required and encouraged with State Departments of Education. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application should be sent to: Department of Education Application Control Center, Room 5673, ROB No. 3, 7th and D Sts., S.W., Washington, DC. Mailing address Department of Education Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202 3561. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals reviewed by outside experts. On basis of their recommendations and those of the Office, award is made by the Secretary of Education. Notification of awards is made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Annually, in the fall. Usually October. Estimated deadline date is November 17, 1982. A mailing list is maintained.

**Range of Approval/Disapproval Time:** Prior to June 30.

**Appeals:** Not applicable.

**Renewals:** Funding is on a 1 year basis with renewal possible.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Federal Government share is 90 percent of the total funds. At least 10 percent of the funds must be provided by the grant recipient. This may be in kind, or cash.

**Length and Time Phasing of Assistance:** One year with renewal possible; total of 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports and final reports as required by award document.

**Audits:** Postaudit plus periodic audits during life of project.

**Records:** Records are to be retained as required by award document.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants) FY 81 $17,500,000; FY 82 est $9,600,000; and FY 83 est $0. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $50,000 to $150,000; $100,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 156 projects are being supported, providing or stimulating service for 15,000 children. In fiscal year 1982, it is estimated that 148 projects will be supported, providing stimulating services to 13,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations published in the Federal Register February 20, 1975, Vol. 40, No. 35, pp. 7408-7430.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Innovation and Development, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-5737. Contact: Jane DeWeerd.

**RELATED PROGRAMS:** 13.600, Administration for Children, Youth and Families—Head Start; 13.613, Mental Retardation—President's Committee on Mental Retardation; 84.009, Program for Education of Handicapped Children in State Operated or Supported Schools; 84.023, Handicapped—Research and Demonstration; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.027, Handicapped Preschool and School Programs.

**EXAMPLES OF FUNDED PROJECTS:** Programs for preschool, handicapped children: an intervention model, a regional demonstration program for preschool handicapped children, home based opportunities for parent education, and a music oriented intervention program.

**CRITERIA FOR SELECTING PROPOSALS:** The funding criteria for Department of Education apply (e.g., staff, budget, etc.) and the following areas are evaluated in each proposal in addition: 1. Geographic distribution: Eligible applicants shall submit, as a condition to receiving assistance under this subpart for the first year of such assistance for an activity, a proposal containing the following information: (a) A description of the population to be served including its socioeconomic, social and ethnic makeup, and the handicapping conditions of the children to be served; (b) The criteria which will be used to determine whether a child is handicapped for the purpose of participating in programs assisted under this subpart; (c) The curriculum design; (d) The provision for parent-family participation; (e) A description of proposed replication activities; (f) A description of supplementary services; (g) The provision for coordination with other agencies; (h) A description of the applicant's plans for the establishment of the advisory council required under 121d.29; (i) Plans for continuation of the program after the period of Federal funding ceases; and (j) A description of the provision for assessment of the progress of the children to be served. These priorities apply: Priority for assistance under this subpart will be given to applications which propose projects designed to; (a) provide or develop models which can successfully group handicapped children with nonhandicapped children on a full or part-time basis and which are aimed at permitting the entry of handicapped children into the regular school system; (b) serve to further the goal set forth in 121d.13; (c) serve children of special age level or functional level groups within the limits provided for in 121d.15; (d) offer significantly improved delivery of specialized services to handicapped children residing in rural areas; (e) serve handicapped children who are also economically disadvantaged, or; (f) serve children with specific handicapping conditions.

## 84.025 HANDICAPPED INNOVATIVE PROGRAMS—DEAF-BLIND CENTERS

### (Centers and Services for Deaf-Blind Children)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI, Part C, Section 622; Public Law 91-230; 20 U.S.C. 1422.

**OBJECTIVES:** To establish model single state and multi-state centers to assure the provision of the following services to all deaf-blind children: (1) comprehensive diagnostic and evaluative services; (2) a program for their education, adjustment, and orientation, which includes prevocational and vocational training and (3) effective consultative services for their parents, teachers, and others involved in their welfare.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Grants and/or contracts may be used to provide those services listed under Objectives above and in addition, in-service training and dissemination of materials and information. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private nonprofit agencies, organizations, or institutions. A grant or contract shall be made only if the Assistant Secretary of the Office of Special and Rehabilitative Services, determines that there is satisfactory assurance that the center will provide such services as stated in Public Law 91-230, Part C, Section 622 (d) (A,B,C,), Title VI, Education of the Handicapped Act.

**Beneficiary Eligibility:** Residential or day schools for aurally or visually handicapped children, or those with learning disabilities; institutions of higher education; agencies serving children with visual, auditory, language, speech and/or learning disabilities; medical or research facilities; State educational agencies; or public or private nonprofit agencies, organizations or institutions developed or modified especially to serve as the coordinating agency for a Deaf-Blind Center.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Request for proposals is announced in "Commerce Business Daily." This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals will be read by field reader panel; notification of awardees regarding grant or contract awards will be made through the contracts office to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Continuation proposals are due March 15, 1982.

**Range of Approval/Disapproval Time:** 8 weeks.

**Appeals:** Not applicable.

**Renewals:** Funding is on a one-year basis with renewal possible.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** 12 months. Contractor must apply for continuation support at least two months before expiration of award period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports shall be made on a quarterly basis. Final reports shall be submitted at the end of the budget period.

**Audits:** Post-audit plus periodic audits during life of project.

**Records:** As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Contracts) FY 81 $16,000,000; FY 82 est $15,000,000; and FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $600,000 to $1,600,000; $1,600,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, seven single and eight multi-state centers for deaf-blind children for their 3rd year of operation were funded to provide some 6,100 deaf-blind children with educational services and diagnostic/evaluative services; and, consultative/counseling services for some 4,000 parents, 1,900 teachers, and 2,800 professionals, teacher aides and other support staff working with deaf-blind children. In fiscal years 1981 and 1982 an increased number of deaf-blind children, it is anticipated, will be served with combined Federal, State, and local funds; and the same level of consultative/counseling services will be provided to teachers, parents, and others. In fiscal year 1978, a new deaf-blind program effort was initiated to fund model deaf-blind demonstration programs. Three model programs were funded in fiscal year 1978 and it is estimated that in fiscal year 1982 a total of 8 projects will be funded. Approximately 160 deaf-blind children will be enrolled in these model demonstration programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 121; Regulations published in the Federal Register, February 20, 1975, Vol. 40, No. 35, pp. 7408-7430.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Innovation and Development, Special Education Service, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-2535. Contact: Jane Williams.

**RELATED PROGRAMS:** 42.001, Books for the Blind and Physically Handicapped; 84.009, Program for Education of Handicapped Children in State Operated or Supported Schools; 84.023, Handicapped—Research and Demonstration 84.024, Handicapped Early Childhood Assistance; 84.026, Handicapped Media Services and Captioned Films; 84.028, Handicapped Regional Resource Centers; 84.086, Innovative Programs for Severely Handicapped Children.

**EXAMPLES OF FUNDED PROJECTS:** Supplemental special education program in schools operated or supported by State Agencies, and private agencies such as schools for the blind, the deaf, and multi-handicapped.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.026 HANDICAPPED MEDIA SERVICES AND CAPTIONED FILMS

### (Media Materials; Technology for the Handicapped)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI, Part F; Public Law 91-230; 20 U.S.C. 1451, 1452, 1453; Public Law 94-142 as amended.

**OBJECTIVES:** To maintain a free loan service of captioned films for the deaf and instructional media for the educational, cultural, and vocational enrichment of the handicapped. Provide for acquisition and distribution of media materials and equipment; provide contracts and grants for research into the use of media, and train teachers, parents, and others in media utilization.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Contracts and grants may be given to conduct research in the use of educational and training films and other educational media for the handicapped. Contracts and grants also provide for the training of teachers, parents, and others who work with the handicapped in the use of educational media. The program is authorized to acquire, produce, and distribute films and other related media, and media equipment. The captioned general-interest films are limited to registered deaf users.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and private agencies, organizations, or groups may submit proposals and applications for projects to the Division of Media Services.

**Beneficiary Eligibility:** Handicapped persons, their families, their actual or potential employers, those persons involved in activities for the advancement of the handicapped.

**Credentials/Documentation:** Cost will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Current work is done almost exclusively through competitive contracts and grants. Periodically, a Request for Proposals (RFP) is developed for a specific workscope and announced through publication in the Commerce Business Daily (CBD). Offerers submit proposals in response to the RFP. This program is subject to the provisions of OMB Circular No. A-110. Also, periodically, grant announcements appear in the Federal Register.

**Award Procedure:** The Deputy Assistant Secretary makes final decisions to approve, defer or reject individual proposals and applications based on objective reviews by outside experts and staffs. Notification of awards is made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Requests for Proposals (RFP) are released periodically without any specific deadlines and the number of RFPs vary from year to year. Information regarding RFPs may be obtained by contacting the headquarters office directly during the first quarter of the fiscal year, October through December. The closing date for the annual competition for media grants under the Handicapped Media Services and Captioned Films program is usually announced in the Federal Register during August or September. Information can also be obtained by contacting the headquarters office in September of each year.

**Range of Approval/Disapproval Time:** 90 to 150 days from the time discussion begins.

**Appeals:** Contract Proposals can be revised on the basis of recommendations made during the review and negotiation process.

**Renewals:** Projects can be renewed on the basis of satisfactory completion of objectives, and recommended for an additional period of support.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** On captioned films, report cards are mailed to distribution centers to show usage. On projects, annual reports are required to be sent to the Project Officer, who also can request interim progress reports.

**Audits:** Subject to audit by ED Audit Agency and General Accounting Office.

**Records:** Required to be maintained during a project, and retained for a period of three years when the project is terminated.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Direct payments) FY 81 $17,000,000; FY 82 est $11,520,000; and FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $2,400 to $4,650,000; $200,000.

**PROGRAM ACCOMPLISHMENTS:** During fiscal year 1980 over 200 new general interest and educational titles were added to the captioned film library which reached over 4 million deaf children and adults. Captioned news was broadcast five evenings weekly on 148 PBS stations and the closed captioning system was implemented. Development of public awareness programming to create a better understanding of the handicapped continued. During fiscal year 1980 and 1981 it is anticipated that additional TV programming will result in expanded services. The grant progam awarded 31 efforts in the areas of media research, development, demonstration and training for the handicapped. Through the market linkage project 50 products have been licensed for national distribution.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Catalog of Captioned Films for the Deaf, no charge. Regulations published in "Federal Register," August 5, 1980, Vol. 45, Number 152, pp. 52130-52137. A catalog of SES Products for use by educators and parents will be published and distributed during FY 81.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Educational Services, Special Education Services, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202. Telephone: (202) 472-4640. Contact: Malcolm Norwood.

**RELATED PROGRAMS:** 42.001, Books for the Blind and Physically Handicapped; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.086, Innovative Programs for Severely Handicapped Children.

**EXAMPLES OF FUNDED PROJECTS:** Market Linkage Project for Special Education, Media Development Center for the Hearing Impaired, Development of a Series of Programs Fostering Independent Living Attitudes Toward Handicapped, and a Captioned Films Distribution Center, a Media Materials Center for The Severely Handicapped, the National Captioning Institute, and Recording Textbooks for the Blind.

**CRITERIA FOR SELECTING PROPOSALS:** As presented in each Request for Proposal and Application for Grants.

## 84.027 HANDICAPPED PRESCHOOL AND SCHOOL PROGRAMS

### (Part B, Education of the Handicapped Act)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI, Part B; Public Law 91-230; as amended by Public Law 93-380 and Public Law 94-142; as amended by Part D, Section 1341 of the Education Amendments of 1978; 20 U.S.C. 1401-1419.

**OBJECTIVES:** To provide grants to States to assist them in providing a free appropriate public education to all handicapped children.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds are used, in accordance with the priorities in the Act, to provide the special education and related services needed to make a free appropriate public education available to all handicapped children in the State. JOINT FUNDING: This program is suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State education agencies in the 50 states, District of Columbia, Puerto Rico, American Samoa, Northern Mariana Island, Guam, Virgin Islands, and Trust Territory of the Pacific Islands, may apply to the Department of Education for participation in the Part B, EHA program under Sections 611 and 619. The Department of the Interior, Bureau of Indian Affairs is eligible for a grant under Section 611. Once States begin participating, local education agencies may apply to their State educational agency for funds.

**Beneficiary Eligibility:** Mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, other health impaired, children having specific learning disabilities, deaf-blind children, or multihandicapped children who require special education and related services are eligible.

**Credentials/Documentation:** Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All public and private institutions and other organizations interested in personnel preparation should be given an opportunity to participate in the comprehensive system of personnel development. Representatives of private schools must be consulted during all phases of the development of the project. Children in private elementary and secondary schools to the extent consistent with their number and location in the State must have an opportunity to participate in the program assisted or carried out under this grant. Public hearings must be held in order to provide general comment on the annual program plan.

**Application Procedure:** States must submit a three-year program plan which 1) meets the conditions in Section 612 and Section 613 of Public Law 94-142 and 2) describes the purpose and activities for which funds under this Act will be expended during each of the three fiscal years covered by the plan. Local education agencies submit applications to their State education agency for approval. To qualify for a Preschool Incentive Grant, States must submit an application which meets the requirement of Section 619, of the Act and have an approved Program Plan under Section 611.

**Award Procedure:** Once the Program Plan is submitted and fully approved, a grant award document representing the total grant amount for that fiscal year, or portion thereof, if under a continuing resolution, is forwarded to the State department of education.

During the three-year cycle, amendments may be required in order to maintain a fully approved plan. Notification of the award is made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Varies within each State. Submission date is set as April 1 to expedite funding, but plans or amendments are accepted throughout the fiscal year.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** The Secretary of Education must give a State educational agency an opportunity for a hearing before taking any action involving: (1) the disapproval of a program plan. (2) the withholding of payments, and (3) a waiver of the supplementing and supplanting requirements. A State may engage in a hearing with the Secretary of Education. If a State disagrees with a final action, it may, within 60 days after notice of such action, file a petition for review of that action with the U.S. Circuit Court of Appeals.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Funds for the 50 states, and the District of Columbia, Puerto Rico, are allotted on the basis of a certified count of the number of handicapped children receiving special education and related services on December 1 of the fiscal year preceding the fiscal year for which the grant is made. Funds to the outlying areas and the Bureau of Indian Affiars are allotted on the basis of their respective need not to exceed 1 percentum of the aggregated amounts available to states in a fiscal year, as determined by the Secretary of Education. There are non-supplanting and excess cost requirements. State funds available to the State for direct and support services must be matched on a program basis. The statistical factors used for fund allocation are: 1. the total number of handicapped children receiving special education (3 to 21 years old) by State and the source is the unpublished reports from State education agencies; and 2. the average national per pupil expenditure by State and the source is the "Revenues and Expenditures", NCES. Statistical factors used for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Grants are issued each fiscal year. Obligation period is one fiscal year (a 15 month period from July 1 to September 30) plus one year carryover provision.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Annual financial and performance reports are submitted to the Department of Education from the State Department of Education.

**Audits:** All expenditures by State and local educational agencies of Federal funds must be audited either by State auditors or other appropriate auditors. The State education agency is responsible for monitoring the Part B Program and must provide for appropriate audit standards. The Federal agency also monitors and audits funds.

**Records:** All records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

FINANCIAL INFORMATION:

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants) FY 81 $874,500,000; FY 82 est not yet determined; and FY 83 This program is proposed for funding as part of a consolidated Block Grant Program. Part B: Preschool Incentive Grants: FY 80 $17,500,000; FY 81 $25,000,000; and FY 82 not yet determined.

**Range and Average of Financial Assistance:** $198,669 to $78,487,252; $633 - $2,377,922 (Preschool), in FY 1982.

PROGRAM ACCOMPLISHMENTS: Approximately 3,941,000 children were served in fiscal year 1981. In fiscal year 1980, 57 applicants applied for Part B funds and 57 grants were issued; 55 applicants applied for Preschool Incentive grants and 55 were issued. For fiscal years 1981, 1982 and 1983, 57 applicants applied for Part B grants and 55 applicants applied for Preschool Incentive grants. The Northern Mariana Islands and American Samoa submitted consolidated applications to the Department of Education which included these programs.

REGULATIONS, GUIDELINES, AND LITERATURE: Final Rules, Federal Register, August 23, 1977. Implementation of Part B of the Education of the Handicapped Act (34 CFR Parts 300 and 301).

INFORMATION CONTACTS:

**Regional or Local Office:** State Educational Agency, Part B Coordinator or Director of Special Education.

**Headquarters Office:** Division of Assistance to States, Office of Special Education, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-4825. Contact: Thomas Irvin.

RELATED PROGRAMS: 84.009, Program for Education of Handicapped Children in State Operated or Supported Schools; 84.024, Handicapped Early Childhood Assistance; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.028, Handicapped Regional Resource Centers; 84.029, Handicapped Personnel Preparation; 84.048, Vocational Education—Basic Grants to States; 84.086, Innovative Programs for Severely Handicapped Children.

EXAMPLES OF FUNDED PROJECTS: Program Plans and Preschool Applications from State educational agencies which met the requirements as set forth in the regulations for Implementation of Part B of the Education of the Handicapped Act (See Federal Register, August 23, 1977) are funded under this program.

CRITERIA FOR SELECTING PROPOSALS: This is an entitlement program. The applicants eligible to participate in the program qualify for funding based upon an approvable program plan or program application. The criteria for approving a plan appear in the regulations for implementation of Part B of the Education of the Handicapped Act. See Federal Register, August 23, 1977.

## 84.028 HANDICAPPED REGIONAL RESOURCE CENTERS

FEDERAL AGENCY: OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

AUTHORIZATION: Education of the Handicapped Act, Title VI, Part C, Public Law 91-230; 20 U.S.C. 1421.

OBJECTIVES: To establish regional resource centers which provide advice and technical services to educators for improving education of handicapped children.

TYPES OF ASSISTANCE: Project Grants (Contracts).

USES AND USE RESTRICTIONS: To pay all or part of the cost of establishing and operating regional resource centers for improving education of the handicapped. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Institutions of higher education, State education agencies, or combinations of such agencies or institutions (such combinations may include one or more local educational agencies) within particular regions of the United States, are eligible to participate in this program.

**Beneficiary Eligibility:** Handicapped Children served by the Regional Resource Centers.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Briefing conferences may be held for all prospective bidders.

**Application Procedure:** Application is submitted in response to a "Request for Proposals," to the Department of Education Application Control Center, Room 5673, ROB No. 3, 7th and D Sts. S.W., Washington, DC. Mailing Address: Department of Education Application Control Center, 400 Maryland Ave, S.W., Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Based on recommendation by expert panels, award is made by the Secretary of Education and notification is given to the State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the Commerce Business Daily during the month of January through March, 1983.

**Range of Approval/Disapproval Time:** 3 to 4 months.

**Appeals:** Not applicable.

**Renewals:** Renewed annually upon evidence of satisfactory development and performance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Indefinite; three year contracts.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Quarterly progress reports during the project and specified reports and products are submitted to the project officer in Division of Educational Services, Learning Resources Branch.

**Audits:** Post audits plus periodic audits during life of project.

**Records:** All recipients of grants or contracts are required to retain all records relative to the contract for a period of 3 years from the termination date of the grants or contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Contracts) FY 81 $7,656,000; FY 82 est $2,880,000; and FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $100,000 to $800,000; $400,000.

**PROGRAM ACCOMPLISHMENTS:** Through more than 600 program assistance activities with state and local education agencies, approximately 20,000 teachers, parents, and administrators will have received assistance from Regional Resource Center (RRC) in 1981. Assistance is provided in priority need areas related to the provision of quality educational programs to all handicappped children. Within each state needs are determined by state and local education officials and by representatives of consumer groups. The RRCs will also have identified, documented, and shared more than 250 successful practices related to child identification and assessment, child placement in the least restrictive environment, individual education programs, procedural safeguards, services to special populations of handicapped children, and coordination of comprehensive services.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations published in "Federal Register," February 20, 1975, Vol. 40, Number 35, pp. 7408-7430.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Educational Services, Office of Special Education, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-4650. Contact: Nancy Safer.

**RELATED PROGRAMS:** 84.023, Handicapped—Research and Demonstration; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.027, Handicapped Preschool and School Programs; 84.086, Innovative Programs for Severely Handicapped Children.

**EXAMPLES OF FUNDED PROJECTS:** The program funded two types of projects exclusively: 1. Technical assistance to State departments of education and local education agencies, and; 2. One-stop full-service information, referral and other direction services for parents of handicapped children.

**CRITERIA FOR SELECTING PROPOSALS:** There are three basic criteria as follows: Approach - Clarity, quality, and appropriateness of the plans to accomplish tasks enumerated; Management Plan - Evidence of project control by management - including effective use of human and physical resources; and Personnel - Background and experience.

## 84.029 HANDICAPPED PERSONNEL PREPARATION

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI (Part D, Section 631, 632, and 634); Public Law 91-230; as amended by Public Law 93-380, Education Amendments of 1974; as amended by Public Law 95-49, Education Amendments of 1976; 20 U.S.C. 1431, 1432, and 1434.

**OBJECTIVES:** To improve the quality and increase the supply of teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special personnel such as specialists in physical education and recreation, paraprofessionals, vocational/career education, volunteers including parent and parent coalitions. Training of regular education teachers, supervisors and administrators also is an objective.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used for undergraduate, graduate, and summer traineeships, special study institutes, and special projects. Project applications from institutions of higher education or other public and/or private nonprofit agencies are subject to evaluation and recommendation by field reviewers with final approval resting with the Secretary of Education. State and local educational agencies are eligible to apply. Funds may be obligated for student's stipends, dependency allowances, or institutional support. Grants to State educational agencies may include programs for preparation of physical educators and/or recreation personnel if such educators and personnel are certified (or certifiable) under applicable State law. Local education agencies may apply for inservice training program support. JOINT FUNDING: This program is considered suitable for joint funding with other closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applications for grants may be submitted by institutions of higher education, both public and private senior colleges and community colleges, and State and local educational agencies. Other nonprofit public and private agencies are eligible for participation.

**Beneficiary Eligibility:** Program support is allowable in lieu of or in addition to student stipends. Stipends may go to students who are preparing for, or are engaged in work with handicapped children as a teacher, supervisor, administrator or researcher, or are engaged or preparing to engage in employment as physical educators or recreation personnel for the handicapped. Stipends also may be paid to students enrolled in inservice programs funded under this authority.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The standard application form to be used is ED Form 9037.

**Application Procedure:** Applications should be sent to the Department of Education, Application Control Center, Room 5673, ROB No.3, 7th and D street, S.W., Washington, DC; mailing address: the Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Upon receipt of new applications they are processed and assigned to field review for evaluation. Reviewers are assembled in panels for a single recommendation to the staff. A funding recommendation is made to the Scecretary of Education for approval or disapproval. Official grant documents are prepared and sent to the certifying representative in the applicant's agency. Notification of grant award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the Federal Register, at least 60 days prior to that date. Application instructions generally are available in August and closing dates for FY 83 are targeted for the October 8 to December 1, 1982 period.

**Range of Approval/Disapproval Time:** Approximately 120 to 200 days.

**Appeals:** Not applicable.

**Renewals:** Renewals are made only through reapplication on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** There are no matching requirements.

**Length and Time Phasing of Assistance:** The budget period is usually for 12 months beginning from June 1 through May 31 of the following year. Multi-year grants for project periods of 24 and 36 months are often awarded subject to submission of satisfactory annual applications and appropriations. Payment of funds is made in accordance with Department of Education policy and procedures.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A financial status report is required annually and a final performance report is required within 90 days after termination of the project period.

**Audits:** On a fiscal year basis by ED Audit Agency as scheduled.

**Records:** Grantee must maintain appropriate records applicable to pertinent credits acquired under the grant for a period of 5 years after the close of the award period or until audited, whichever is earlier.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants) FY 81 $43,500,000; FY 82 est $33,600,000; and FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** College range $8,000 to $360,000; average $60,000; State educational agencies range $50,000 to $210,000; average $102,000; Special Projects range $29,000 to $324,000; average $100,000; local education agencies range $10,000 to $170,000; average $25,000.

**PROGRAM ACCOMPLISHMENTS:** Many educators are trained in SEP-supported programs. In fiscal year 1981, an estimated 95,255 individuals will be trained. Of these 95,255 persons, 46,929 will be regular educators who receive inservice training. Of the 95,255 to be trained only 7,686 will be trained in preservice settings. In fiscal year 1982, some 1,142 applications were received with approximately 671 are projected to be funded. For fiscal year 1983, the application number expected is 1,300.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 Code of Federal Regulations, Part 318(Source: 40 FR 7419, Feb. 20, 1975, as amended by 42 FR 20300, Apr. 19, 1977, 45F 122494, Apr. 3, 1980, 45 FR 22806, Apr. 3, 1980, 45 FR77368, Nov. 21, 1980 and 46 FR 5372, Jan. 19, 1981. Application guideline package.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Personnel Preparation, Special Education Programs, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202. Telephone: (202) 245-9886. Contact: Dr. Herman Saettler.

**RELATED PROGRAMS:** 84.023, Handicapped—Research and Demonstration; 84.024, Handicapped Early Childhood Assistance; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.027, Handicapped Preschool and School Programs; 84.028, Handicapped Regional Resource Centers; 84.030, Handicapped Teacher Recruitment and Information.

**EXAMPLES OF FUNDED PROJECTS:** 1. A State Education Agency is funded to prepare regular education teachers, principals and administrators to work with handicapped children in the regular school setting; A local education agency is funded to train parents, school psychologists, and other administrative personnel to provide access for children suspected of being handicapped into the evaluation process of the local school system; 3. A university is funded to train Masters and Post-Masters students in broad spectrum special education so that they may teach and provide other services to all types of handicapped children; 4. A non-profit educational agency is funded for the inservice training of paraprofessionals, special education teachers, and regular educators in an interface so that a child can advance easily and readily from a special education to regular education placement with the assistance of a paraprofessional who is known to both the special education and regular education teacher; 5. Native American teachers are being trained by a university with direct on-site (on reservation) practicum experience so the teachers trained will work directly with handicapped Native American children in an appropriate bilingual and bicultural setting.

**CRITERIA FOR SELECTING PROPOSALS:** Selection is based on need, priority and quality. Need is in relation to the applicant's State's Comprehensive System of Personnel Development as required for funding under Public Law 94-142, and/or as developed by the State. Priority is noted by funding areas within the printed budget included within the application package. These areas include both preservice and and inservices modes of training. Quality is judged by peer review by field reviewers and reconciliation of a joint recommendation by an assembled panel comprised of the field reviewers. All personnel preparation programs are to assure that all handicapped children receive a free and appropriate public education as specified in his or her individualized education plan. Priorities are described in 34 CFR 318.21. They are not ranked but funding amounts may vary from fiscal year to fiscal year contingent on Congressional appropriations. The budget is included in the Application Guidelines package.

## 84.030 HANDICAPPED TEACHER RECRUITMENT AND INFORMATION

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI, Part D, Section 633; Public Law 91-230; 20 U.S.C. 1433.

**OBJECTIVES:** To disseminate information which can help parents, consumer organizations, professionals and others interested in special education in making decisions that affect the education and general well-being of handicapped children.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** (1) To disseminate educational and related information to parents and others intersted in the well-being of handicapped children; (2) to help parent/consumer groups provide information and referral services; (3) to encourage schools to respond to the special needs of handicapped children, by providing them with factual information on what can be done by and for handicapped people. No restrictions. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or nonprofit agencies, organizations, or institutions, public or private agencies, organizations, or institutions, or Supported Schools; 84.029, Handicapped Personnel Preparation.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Requests for proposals are published in "Commerce Business Daily" as funds become available. The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application should be sent to Department of Education Application Control Center, Room 5673, Regional Office Building Three, 7th and D Sts, S.W., Washington, DC. Mailing address: Department of Education Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Assistant Secretary makes final decisions to approve, defer, or reject individual projects. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced in the "Commerce Business Daily."

**Range of Approval/Disapproval Time:** Three to four months.

**Appeals:** May be made to the Assistant Secretary.

**Renewals:** Renewals are made only through reapplication on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** The award period is for one to three years; phasing dependent upon needs of individual projects.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Multiple copies of final report, as well as quarterly progress reports, are due to the Assistant Secretary or his designate.

**Audits:** Post-audit plus periodic audits during life of project.

**Records:** All records are to be maintained as required by award document.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants and contracts) FY 81 $750,000; FY 82 est $720,000; and FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $10,000 to $400,000; $175,000.

**PROGRAM ACCOMPLISHMENTS:** Continuing funding of operating centers provides assistance grants for the establishment of local information units, to produce a technical manual with evaluative criteria on information systems and referral services and to assess the needs of and design information packages for special handicapped populations. Centers are run by parent-coalition representing all disability groups and service approximately 75,000 parents and programs each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations published in the Federal Register, February 20, 1975, Vol. 40, Number 35, pp. 7408-7430.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Personnel Preparation, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-2709. Contact: Martha Bokee.

**RELATED PROGRAMS:** 84.009, Program for Education of Handicapped Children in State Operated or Supported Schools; 84.029, Handicapped Personnel Preparation.

**EXAMPLES OF FUNDED PROJECTS:** Information and referral centers, for parents of children with handicaps; media support for outreach programs (contracts).

**CRITERIA FOR SELECTING PROPOSALS:** Not presently available.

## 84.031 HIGHER EDUCATION—STRENGTHENING DEVELOPING INSTITUTIONS

### (Title III—HEA 1965)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Title III, as amended; Sections 301-306; Public Law 89-329; 20 U.S.C. 1051-1056.

**OBJECTIVES:** To help colleges and universities, qualifying within the definition of the Act, to solve problems that threaten their ability to survive and to stabilize their management and fiscal operations so that they may achieve self-sufficiency.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Eligible institutions may apply under three programs collectively referred to as "Institutional Aid Programs"; the Strengthening Program, the Special Needs Program and the Challenge Grant Program. These programs provide funds to plan, develop and implement activities for; development of faculty; management of funds and administrative management; acquistion of equipment for use in strengthening academic programs and in strengthing management of funds; joint use of facilities such as libraries and laboratories; and student services. Funds may not be used for: activities other than those in an approved application; activities that are inconsistent with any applicable State plan of higher education or State plan for desegregation; a school or department of divinity or any religious worship or sectarian activity; general operating and maintenance expenses; indirect costs; major construction costs; or supplanting of other funds available to the institution. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. The grant funds must be used in accordance with the approved program budget.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** A two or four year college or institution of higher education that qualifies as eligible using criteria as specific in the existing regulations. In general, eligible applicants are institutions that are providing higher education to substantial numbers of students from low income families and that do not yet have the capacity to carry out such activities as providing adequate management, improving academic programs and student services or upgrading the quality of their faculty members.

**Beneficiary Eligibility:** Under these programs, eligible institutions are the primary intended beneficiaries. Of course, administrators, faculty members and students also benefit through the authorized types of development activities.

**Credentials/Documentation:** Institutions must document that they are accredited by a nationally recognized accrediting agency determined by the Secretary to be a reliable authority as to the quality of training offered or they must document that they are making progress toward such accreditation. A four year institution must have offered a bachelor's degree during the five academic years preceding the academic year for which it seeks assistance. A two year institution must have offered, during the five academic years preceding the academic year for which it seeks assistance, a program acceptable for full credit towards a bachelor's degree, or a two year program in engineering, mathematics, or the physical or biological sciences designed to prepare the student to work as a technician at a semiprofessionl level. However, a waiver of the five year requirement may be granted to institutions meeting the criteria specified in the existing regulations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** First, submit a Request for Designation as an Eligible Institution form (ED Form 1049-6) to the Evaluation Section. Division of Institutional Development, L'Enfant Plaza, P.O. Box 23868, Washington, D.C. 20024 by the established date published separately in the Federal Register. Second, if the institution is an eligible applicant, submit a completed application according to the instructions to Application Control Center, Department of Education, ROB-3, Room 5673, 7th and D Streets, S.W., Washington, D.C. 20202. For proper identification and distribution, an Attention line must be used- Attention: 84.031a, 84.031b, or 84.031c depending on whether the application is for the Strengthening Program, the Special Needs Program or the Challenge Grant Program. The application forms for the programs are ED forms 851, 852 or 853 respectively. These programs are subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications are evaluated by external reviewers who are experts in postsecondary education, and the ED staff. The United States Secretary of Education makes final awards based on the recommendations submitted by the Division of Institutional Support, Office of Postsecondary Education. Notification of grant approval to Members of Congress as well as to the institutions of higher education is provided by the Office of Procurement and Assistance Management in the Department of Education.

**Deadlines:** The deadline date will be published in the Federal Register. Usually the deadline dates for applications will fall at the beginning of the school quarter.

**Range of Approval/Disapproval Time:** About 6 months.

**Appeals:** None.

**Renewals:** Only under the Strengthening Program may an applicant apply for a renewable development grant.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** If the applicant applies for a three, four or five year grant under the Special Needs Program, the institution is required to pay 10percent of the costs in the third year, 20percent in the fourth year and 30percent of the cost in the fifth year, either with its own funds or with funds from other sources. Under the Challenge Grant Program, the applicant institution must match the funds it receives from the grant, on a dollar for dollar basis, with new funds that were previously unavailable to the institution from non-Federal sources.

**Length and Time Phasing of Assistance:** Under the Strengthening Program, planning grants are for a period of one year, renewable development grants for a period of one to three years, and non-renewable development grants for a period of four to seven years. Under the Special Needs Program, planning grants are for a period of one year, non-renewable development grants for a period of one to five years for new grantees and one to four years for those institutions previously funded under the program. Under the Challenge Grant Program, non-renewable development grants are for a period of up to five years. Federal payments under all three programs will normally be made in monthly payments in the amount requested by the grantee institution.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required by the Department of Education Special Grant Terms and Conditions.

**Audits:** Subject to a Federal audit any time during the term of the grant, and within a period of 3 years after the termination of Federal support.

**Records:** Must be retained for 5 years after the end of the fiscal year during which the expenditures were made or until the grantee is notified that the records are no longer needed.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $119,875; FY 82 est $124,416,000; and FY 83 est $129,600,000.

**Range and Average of Financial Assistance:** FY 82-- Under the Strengthening Program, planning grants will range between $10,000 and $25,000 renewable development grants between $50,000 and $200,000 per year and non-renewable development grants between $100,000 and $800,000 per year. Under the Special Needs Program, planning grants will range between $10,000 and $25,000 and development grants between $100,000 and $800,000 per year. Under the Challenge Grant Program, grants will range between $150,000 and $800,000 per year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1982, the first grants will be awarded under the three new Institutional Aid Programs which replaced the Strengthening Developing Institutions Programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The regulations pertinent to these three programs were published in the January 5, 1982 issue of the Federal Register, 34 CFR Parts 624, 625, 626 and 627. The Education Department General Administrative Regulations also apply to these programs.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Institutional Aid Programs, Office of Postsecondary Education, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202. Telephone: (202) 245-9691. Contact: Dr. Claude Mayberry.

**RELATED PROGRAMS:** 45.111, Promotion of the Humanities—Higher Education/Regional and National Grants; 45.123, Promotion of the Humanities—Consultant Grant Program; 84.033, College Work—Study Program; 84.042, Special Services for Disadvantaged Students; 84.055, Higher Education—Cooperative Education; 84.116, Fund for the Improvement of Postsecondary Education.

**EXAMPLES OF FUNDED PROJECTS:** The Education Department will award its first grants under the new Institutional Aid Programs in FY 1982.

**CRITERIA FOR SELECTING PROPOSALS:** Application review criteria and use of review panels. (a) The Secretary appoints review panels to provide comments on and recommended rating for the applications. The Secretary appoints separate panels to review applications from degree-granting institutions and from junior and community colleges. The reviewers numerically rate each application assigned and provide the Secretary with comments on each. (b) For planning grants, a panel judges each applicant on the following criteria with points assigned to each criterion: 1. Measurable objectives. (0-10 points); 2. Quality of the proposed strategy for developing the applicant's long range plan or application. (0-15 points); 3. Timetable. (0-5 points); 4. Use of own personnel. (0-10 points); 5. Likelihood of procedures ensuring effective administration. (0-10 points); 6. Involvement in planning process. (0-12 points); 7. Qualifications of project director. (0-6 points); 8. Roles of key personnel (0-6 points); 9. Percentage of time committed by key personnel. (0-6 points); 10. Cost effectiveness and reasonableness. (0-10 points); 11. Appropriateness of evaluation methods and criteria. (0-10 points. (c) For development grants, panel judges each application first to see whether the applicant's long range plan 1) provides for self-sufficiency, 2) identifies major obstacles to self-sufficiency and 3) proposes remedies to those obstacles. If the long range plan is acceptable the panel then judges each application on the following criteria: 1. Objectives being clear, specific and measurable. (0-10 points); 2. Quality of the implementation strategy. (0-10 points); 3. Likelihood of objectives leading to self-sufficiency. (0-20 points); 4. Timetable. (0-5 points); 5. Use of own personnel. (0-15 points); 6. Likelihood of procedures ensuring effective administration. (0-10 points); 7. Qualifications of the project director and other key personnel and time commited to the project of key personnel. (0-10 points); 8. Cost effectiveness and reasonableness. (0-10 points); 9. Quality of the evaluation design, including the extent to which the methods are appropriate, objective and lead to quantifiable data (0-10 points).

## 84.032 HIGHER EDUCATION ACT INSURED LOANS

### (Guaranteed Student Loans)

**FEDERAL AGENCY: OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION**

**AUTHORIZATION:** Higher Education Act of 1965, Title IV-B, Public Law 89-329; 20 U.S.C. 1071, as amended.

**OBJECTIVES:** To authorize low-interest deferred loans for educational expenses available from eligible lenders such as banks, credit unions, savings and loan associations, pension funds, insurance companies, and schools to vocational, undergraduate, and graduate students enrolled at eligible institutions. The loans are insured by a State or private nonprofit agency or the Federal government.

**TYPES OF ASSISTANCE:** Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:** To help defray costs of education at a participating school only. Repayment begins 6 months after the student ceases to carry at least one-half the normal full-time academic workload. Deferment of payment may be granted during an authorized period in which the borrower is attending an eligible school full time; participating in an approved graduate fellowship program or an approved rehabilitation training program for disabled individuals; not in excess of three years during which the borrower: 1) is a member of the Armed Forces of the United States or is an officer in the Commissioned Corps of the Public Health Services, 2) is in service as a full-time volunteer under the Domestic Volunteer Service Act of 1973, 4) is in service comparable to the service referred to in 2 and 3, as a full-time volunteer for an organization which is exempt from taxation under section 501(c)(3) of the Internal Revenue Code of 1954; not in excess of two years during which the borrower is serving an internship, the successful completion of which is required in order to receive professional recognition required to begin professional practice or service; not in excess of three years during which the borrower is temporarily totally disabled as established by sworn affidavit of a qualified physician, or during which the borrower is unable to secure employment by reason of the care required by a spouse who is so disabled; and not in excess of 12 months during which the borrower is seeking and unable to find full-time employment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Will vary from State to State. Generally, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment on at least a half-time basis as undergraduate, graduate, professional or vocational student at a participating post-secondary school may apply. Only U.S. Nationals may attend eligible foreign post-secondary schools. If the student presently is enrolled at the institution, he/she must be maintaining satisfactory progress in the course of study he/she is pursuing. Also, the student may not owe a refund on any Title IV grant or be in default on any Title IV aid at that school. If the student's adjusted gross income is $30,000 or more the student must undergo a "needs test" to determine eligibility for Federal interest and special allowance benefits.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The student will need certification of school enrollment on a completed, appropriate application.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Information regarding application procedures may be obtained from lenders, schools, the Federal Education Department and State guarantee agencies.

**Application Procedure:** Applications for loans are obtained from lenders or schools. The student completes his or her portion of the application and submits it to the school. The school must certify that the student is enrolled, and maintaining satisfactory progress, or is accepted for enrollment, and provide information on the student's cost of education and other financial aid. The lender then completes its portion of the application and forwards it to the guarantor for commitment.

**Award Procedure:** If the lender agrees to make the loan, the application is forwarded to the guarantor or insurer for commitment. Upon commitment, the lender disburses the proceeds of the loan to school or to the applicant. The barrower is required to pay an insurance premium which varies depending upon the state, in addition to a 5 percent "origination fee" which is received by the U.S. Department of Education to help defray expenses.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Varies.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Student may apply for a loan for any year of school. Repayment generally is made over 5 to 10 years beginning 6 months after the student ceases to be at least half time. The entire period from date of original loan through completion of repayment may not exceed 15 years (excluding periods of authorized deferment and forbearance). Under the current Act, authorization expires September 30, 1986; authorization for loans to previous borrowers to complete education expires September 30, 1990.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Lenders submit quarterly reports of loans outstanding in order to receive interest benefits and special allowance payments. Additional operational reports are required for specific purposes.

**Audits:** Lenders, schools, and guarantee agencies are subject to examination and audit by ED (no frequency established). Participating schools must have an independent audit of all GSLP transactions at least biennially.

**Records:** Lender must maintain records to support and identify loan transactions, interest billings, and/or special allowance. Guarantee agencies must maintain complete records to support and identify their activities. Federal regulations specify administrative and fiscal records required to be maintained by schools.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0230-0-1-502.

**Obligations:** (Loan Volume) FY 81 $7,735,000,000; FY 82 est $7,799,000,000; and FY est $8,483,000,000.

**Range and Average of Financial Assistance:** The maximum may not exceed $2,500 per academic year for undergraduate students; total loans outstanding may not exceed $12,500. Graduate and professional students may borrow up to $5,000 annually for a maximum loan of $25,000.

**PROGRAM ACCOMPLISHMENTS:** Loans were made by over 16,000 lenders. As of September 30, 1981, the amount of loans guaranteed (committed) under this program reached $29,010,000. In fiscal year 1981, 3,522,000 commitments were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR 682 and 34 CFR 683.

**INFORMATION CONTACTS:**

**Regional or Local Office:** ED Regional Offices listed in Appendix IV. Each State with an operating guarantee Agency maintains an office in its respective State. A list of guarantee agency addresses is available from the address below.

**Headquarters Office:** Division of Policy and Program Development, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, Washington, DC 20202. Telephone: (202) 245-2475. Contact: Larry Oxendine.

**RELATED PROGRAMS:** 64.111, Veterans Educational Assistance; 64.117, Dependents Educational Assistance; 84.007, Supplemental Educational Opportunity Grants; 84.033, College Work—Study Program; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.047, Upward Bound; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.033 COLLEGE WORK—STUDY PROGRAM (CWS)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965; Public Law 89-329, Title IV, Part C,; 42 U.S.C. 2751-2756b; Public Laws 92-318, 94-482, 95-566, and 96-374.

**OBJECTIVES:** To provide part-time employment to students attending institutions of higher education who need the earnings to help meet their costs of postsecondary education.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The program pays up to 80 percent of the earnings of eligible students in eligible jobs, which may be either for the institution itself (except in the case of proprietary institutions) or in work in the public interest for any public or private nonprofit organization under an arrangement with the institution. The institution is entitled to an administrative cost allowance for expenditures which equal five (5) percent of the first $2,750,000, plus (4) percent for expenditures greater than $2,750,000 but less than $5,500,000 plus three (3) percent for expenditures in excess of $5,500,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Higher education institutions (public, other nonprofit, and proprietary) meeting eligibility requirements (accreditation, postsecondary, etc.).

**Beneficiary Eligibility:** Undergraduate, graduate, or professional students who need assistance, are maintaining satisfactory progress in accordance with the standards and practice of the institution, are enrolled or accepted for enrollment as a regular student, are at least half-time students, do not owe a refund on a Title IV Grant are not in default on a Title IV loan, and meet citizen/resident requirements.

**Credentials/Documentation:** Institutions must document their eligibility (accreditation) and students must demonstrate financial need.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Representatives of the appropriate ED Regional Office are available for consultation. (See listing of ED Regional Offices in the address appendix). Students should contact the institution(s) they wish to attend.

**Application Procedure:** Participating institutions submit the Fiscal-Operations Report/Application ED Form-646, to participate in Federal Student Aid Programs, including Supplemental Educational Opportunity Grants and National Direct Student Loan Programs, which is mailed to institutions of postsecondary education each Fall by the Office of Student Financial Assistance, Office of Postsecondary Education, Department of Education. New institutions submit only the application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Office of Student Financial Assistance determines final awards and notifies participating institutions.

**Deadlines:** Usually in October and is announced in the application packet. Appeal deadline is in February or March.

**Range of Approval/Disapproval Time:** Notices of tentative amounts sent in February; additional 60 to 90 days for final notices.

**Appeals:** Appeals may be made within approximately 3 weeks after the institution receives its tentative notification.

**Renewals:** Annual.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted among the States according to statutory formula and regulations. The statistical factors used for fund allocation are: 1. national and State enrollment in higher education and the source is the "Fall Enrollment in Higher Education", NCES; 2. number of persons under 18 in families with incomes under $3,000 by State and the source is the "1970 Decennial Census"; and 3. number of high school graduates by State and the source is the "Statistics of Public Elementary and Secondary Day Schools", NCES. The Consumer Price Index is used in computing the BEOG index, and BLS Low Income figures are used in the Uniform Methodology. Both are used in determining institutional need for campus-based funds, and, thus eligibility for the funds. Details of the funding procedures are in Sections 675.3 to 675.7 of the College Work-Study regulations printed in the Federal Register on January 19, 1981. The Federal share of the compensation paid to students normally does not exceed 80 percent. The remaining share must be paid by the institution or the employer.

**Length and Time Phasing of Assistance:** Funds are awarded for use by participating institutions for one award year at a time following the year of application.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A single combined Fiscal-Operations Report/Application form for NDSL, SEOG and CWS (ED 646) is submitted by each institution at the close of each award year of operation (June 30).

**Audits:** An institution may have itself audited according to ED guidelines by its own licensed or certified public accountants at its own expense, and is encouraged to do so annually, but must do so not less frequently than once every two years. Audits are performed at Government expense by the ED Audit Agency as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:** All records pertaining to a given fiscal year's activities must be retained for a period of 5 years following the end of the fiscal year or until audited, whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0200-0-1-502.

**Obligations:** (Federal Share) FY 81 $550,000,000; FY 82 est $484,000,000; and FY 83 est $397,000,000.

**Range and Average of Financial Assistance:** To institutions: $200 to $7,678,942; $170,807; average award to student $614.

**PROGRAM ACCOMPLISHMENTS:** In the award period 1979-80 it is estimated that 3,220 institutions participated in the CWS program and 972,545 students attending those institutions were awarded CWS awards which enabled them to pursue their education.

**REGULATIONS, GUIDELINES, AND LITERATURE:** CFR Title 34, Part 675; Notification to Members of Congress, list of grantees, issued annually or as necessary, no charge; Information leaflet, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Students should contact the educational institution(s) they wish to attend. Public and private nonprofit organizations should contact grantee educational institutions in their own State or multi-State areas. Educational institutions should contact the Regional Administrator for Student Financial Assistance in appropriate ED Regional Office. (See Appendix IV.)

**Headquarters Office:** Division of Policy and Program Development, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-9720. Contact: Margaret Henry.

**RELATED PROGRAMS:** 64.111, Veterans Educational Assistance; 64.117, Dependents Educational Assistance; 84.007, Supplemental Educational Opportunity Grants; 84.031, Higher Education-Strengthening Developing Institutions; 84.032, Higher Education Act Insured Loans; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.047, Upward Bound; 84.055, Higher Education-Cooperative Education; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers; 84.069, Grants to States for State Student Incentives.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.034 PUBLIC LIBRARY SERVICES

## (LSCA—Title I)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Library Services and Construction Act, Title I, Public Law 84-597, as amended.

**OBJECTIVES:** To assist in (1) extending public library services to areas without service or with inadequate service, (2) establishing and expanding State institutional library services, (3) library service to the physically handicapped, (4) establishing and expanding library services to the disadvantaged in urban and rural areas, and (5) strengthening the metropolitan public libraries which serve as national or regional resource centers, (6) providing programs and projects which serve areas with high concentrations of persons of limited English-speaking ability and (7) strengthening major urban resource libraries.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for books and other library materials, library equipment, salaries, and other operating expenses, for administration of State plans, and for strengthening the capacity of State library administrative agencies for meeting the needs of the people of the states. Funds may not be used for libraries such as law, medical, school, and academic libraries, which are organized to serve a special clientele; or for construction purposes. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or appropriate funding agency for further information on statutory or other restrictions involved. The major urban resource program is activated when Title I annual appropriation exceeds $60,000,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State library administrative agencies which have authority to administer Federal funds, supervise public library service within a State, and together with participating libraries, have financial resources sufficient to match Federal funds on a percentage basis according to per capita wealth.

**Beneficiary Eligibility:** Population in localities which have no library service or inadequate library service.

**Credentials/Documentation:** Governors or their designated Plan review agencies must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State plan deadline - October 1, of ensuing year.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** To qualify for a grant, states must submit for approval of the Secretary of Education a basic State plan (State-Federal agreement) as defined in Section 3(11) of the Act. This will include the State's assurance of its capabilities for administering the program, specific policies, criteria, and priorities for implementing programs as defined in the Act, a certificate of maintenance of effort and a listing of the State-wide Advisory Council on Libraries. By July 1, 1972, a long-range program (5 years) was submitted. Annually, thereafter, the State must (1) review and amend where necessary the approved basic State plan; (2) review and revise its long-range program; and (3) submit an annual program consisting of projects. All programs must be developed with the advice of the State Advisory Council and in consultation with the representative of the Secretary of Education. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Secretary of Education is responsible for providing notification of the grant approval to the State, and the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Prerequisite reports are due by October 1, of the ensuing year.

**Range of Approval/Disapproval Time:** Not specified.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factor used for fund allocation is state population, 1977 and the source is the "Current Population Reports", P-25, Bureau of the Census. Statistical factors used for eligibility do not apply to this program. Federal share ranges from 33 percent to 66 percent except for the Trust Territory of the Pacific which is 100 percent. Matching requirements-in proportion to State's per capita income.

**Length and Time Phasing of Assistance:** Except as otherwise provided by law, funds must be expended within the fiscal year of their allotment.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States must submit at the end of the fiscal year for which funds were awarded (1) Projects, and (2) Annual Expenditures reports.

**Audits:** Audits are performed by ED; no specified time.

**Records:** Financial records are expected to be retained for 5 years after the date of submission of the final expenditure report.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Grants) FY 81 $62,500,000; FY 82 est $41,250,000. FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, it is estimated that over 30,000,000 disadvantaged; 750,000 State institutionalized, 1,200,000 blind and physically handicapped persons and 2.2 million older readers were served. In fiscal years 1981 and 1982 a similar population will be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Library Services and Construction Act, Rules and Regulations." See Federal Register of April 23, 1979, pp. 23843 - 23851.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Library Programs, Office of Libraries and Learning Technologies, Office of Assistant Secretary for Educational Research and Improvement, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-5150. Contact: Robert Klassen.

**RELATED PROGRAMS:** 40.001, Depository Libraries for Government Publications; 42.001, Books for the Blind and Physically Handicapped; 42.003, Distribution of Library of Congress Cataloging; 42.006, Library of Congress Research Services; 45.009, Promotion of the Arts—Visual Arts; 45.113, Promotion of the Humanities—Program Development; 84.003, Bilingual Education; 84.035, Interlibrary Cooperation; 84.039, Library Research and Demonstration; 84.091, Strengthening Research Library Resources.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.035 INTERLIBRARY COOPERATION

## (LSCA—Title III)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Library Services and Construction Act, Title III, Public Law 84-597, as amended.

**OBJECTIVES:** To provide for the systematic and effective coordination of the resources of school, public, academic, and special libraries and special information centers for improved services of a supplementary nature to the special clientele served by each type of library center.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for services and equipment necessary for the establishment and operation of systems or networks of libraries and information centers working together to achieve maximum service to all users. Neither library materials nor construction are eligible expenditures. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State library administrative agencies which have authority to administer Federal funds and supervise library service within a State.

**Beneficiary Eligibility:** School, public, academic, special libraries, and special information centers.

**Credentials/Documentation:** Governors or their designated plan review agencies must be given an opportunity to review the State plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State plan deadline - October 1, of the ensuing year.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouse review pursuant to Part I, Attachment A, of OMB Circular No. A-95 (revised).

**Application Procedure:** To qualify for a grant, states must submit for approval of the Secretary of Education, a basic State plan (State-Federal agreement) as defined in Section 3(11) of the Act. This will include the State's assurance of its capabilities for administering the program, specific policies, criteria, and priorities for implementing programs as defined in the Act, a certificate of maintenance of effort and a listing of the statewide Advisory Council on Libraries. By July 1, 1972 a long-range program (5 years) was submitted. Annually, thereafter, the State must (1) review and amend where necessary the approved basic State plan; (2) review and revise its long-range program; and (3) submit an annual program consisting of projects. All programs must be developed with the advice of the State Advisory Council and in consultation with the Secretary of Education. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Secretary of Education is responsible for providing notification of the grant approval to the State, and the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Prerequisite reports are due by October 1, of the ensuing year.

**Range of Approval/Disapproval Time:** Not specified.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factor used for fund allocation is state population, 1977 and the source is the "Current Population Reports", Bureau of the Census. Statistical factors used for eligibility do not apply to this program. Federal share is 100 percent.

**Length and Time Phasing of Assistance:** Except as otherwise provided by law, funds must be expended within the fiscal year of their allotment.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** States must submit at the end of the fiscal year for which funds were awarded (1) Projects, and (2) Annual Expenditures Reports.

**Audits:** Audits are performed by ED; no specified time.

**Records:** Records may be destroyed after 5 years.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Grants) FY 81 $12,000,000; FY 82 est $10,560,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, an estimated 175 projects were supported. In fiscal year 1981 it is estimated that 275 projects will be supported.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Library Services and Construction Act, Rules and Regulations." see Federal Register of April 23, 1979 pp. 23843-23851.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not Applicable.

**Headquarters Office:** Office of Libraries and Learning Technologies, Office of Assistant Secretary for Educational Research and Improvement, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-5150. Contact: Robert Klassen.

**RELATED PROGRAMS:** 42.003, Distribution of Library of Congress Cataloging; 84.005, College Library Resources; 84.034, Public Library Services; 84.091, Strengthening Research Library Resources.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.036 LIBRARY CAREER TRAINING

## (HEA Title II-B)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Title II-B, Public Law 89-329 as amended by the Education Amendments of 1980, Public Law 96-374, sections 201, 202, 222; 20 U.S.C. 1021, 1022 and 1032.

**OBJECTIVES:** To assist institutions of higher education and library organizations and agencies in training persons in the principles and practices of librarianship and information science, including new techniques of information transfer and communication technology, thereby increasing their educational opportunities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are awarded to assist in covering the cost of courses for training or study (short term or regular session institutes) for establishing and maintaining fellowships or traineeships with stipend, for establishing, developing or expanding programs of library and information science. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. In fiscal year 1982. The Secretary will award grants for fellowship projects only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All institutions of higher education and all other library organizations or agencies which have an established program of library and information science education or are planning to begin such a program, or which have sufficient facilities and resources necessary to conduct a training program consistent with the purposes of the Act.

**Beneficiary Eligibility:** Individuals must be nationals of the U.S. or in this country for other than a temporary purpose and intend to become permanent residents. In addition, they must be persons who are presently engaged in or who are preparing to engage in a profession or other occupation involving librarianship.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. (34 CFR Part 75 and 77, appendices B-D.)

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application face page (SF 424) as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Individuals apply directly to the grantee. Eligible institutions submit to ED: Applications for Grants under Library Career Training Program, ED Form 547. The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure.** Applications are evaluated by outside experts and staff of the Office of Libraries and Learning Technologies. Awards are made to eligible institutions and library organizations and agencies by the Secretary of Education. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications are submitted once each year. The deadline for FY 82 was February 8, 1982.

**Range of Approval/Disapproval Time:** Approximately 3 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Length of Assistance Period: 1 year of training. Time Phasing of Assistance: Quarterly payments made through DFAFS based upon forecasted cash needs provided in budget information. Adjustments are made based on actual expenditures as indicated on Financial Status and Performance Report.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Final Financial Status and Performance Report (ED 606) is due 90 days after termination of the grant period.

**Audits:** Audits are performed by ED audit agency; no specified time.

**Records:** Records must be retained for 5 years after the date of submission of the final expenditure report. In all cases of audit questions, records must be maintained until resolution.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Grants) FY 81 $667,000; FY 82 est $640,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $8,000 to $56,000; $20,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 applications received: 53 fellowship proposals. Fiscal year 1981 applications funded: 34 Fellowships. Fiscal year 1982 applications to be funded: 34 (est.)

**REGULATIONS, GUIDELINES, AND LITERATURE:** Proposed Rules and Regulations, Library Career Training Program. 34 CFR Part 776, Sections 776.1-776.54, see Federal Register of October 28, 1981, page 53,362. Final regulations are scheduled for publication in April 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Library Programs, Office of Libraries and Learning Technologies, Office of Assistant Secretary for Educational Research and Improvement, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-9530. Contact: Frank Stevens.

**RELATED PROGRAMS:** 84.039, Library Research and Demonstration.

**EXAMPLES OF FUNDED PROJECTS:** A fellowship program designed for three master's to help minorities and handicapped persons learn how to better deliver library services to the blind and physically handicapped. A fellowship program designed for two doctoral fellowships to help equalize the percentage of women and minorities in the management levels of the profession.

**CRITERIA FOR SELECTING PROPOSALS:** (See Proposed Regulations For Detailed Criteria) Fellowship applications (1) Project description, (2) Plan of operation, (3) Quality of key personnel, (4) Participant selection, (5) Applicat characteristics, (6) Budget and cost effectiveness, (7) Evaluation plan, (8) Adequacy of resources, (9) Conformance with program objectives.

## 84.037 NATIONAL DEFENSE/DIRECT STUDENT LOAN CANCELLATIONS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Title IV, Part E, as amended; Public Law 89-329; 20 U.S.C. 1087aa-1087ff; and Title II of NDEA of 1958; 20 U.S.C. 421-429; Public Laws 85-864, 92-318; 94-482 and 96-374.

**OBJECTIVES:** To reimburse institutions for their share of loans cancelled for National Defense Student Loan recipients who become teachers or who perform active military service in the U.S. Armed Forces, and restore to the fund the full amounts of National Direct Student Loans cancelled for teaching service and for military service in specified areas of hostility.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use; Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:** None for reimbursements but restorations may be used only for fund purposes.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Higher education institutions (public, other nonprofit, and proprietary) meeting the eligibility requirements (accreditation, post-secondary, etc.) and presently or previously participating in the National Direct (or Defense) Student Loan Program.

**Beneficiary Eligibility:** For current borrowers, loan cancellation is available for service: as a full-time teacher in a designated elementary or secondary school having a high enrollment of children from low-income families, as a full-time staff member in a Head Start Program; as a full-time teacher of handicapped children; or as a member of the Armed Forces in an area of hostilities.

**Credentials/Documentation:** Cancellation Certificates required, documenting teaching service.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** In case of loans cancelled under provisions of the National Defense Education Act, the institution applies to the Department of Education for funds equal to the institutional contribution of the amounts cancelled; for loans cancelled pursuant to Title IV, Part E of the Higher Education Act, the institution applies to the Department of Education for restoration of the full amount cancelled. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Reimbursements are made annually upon acceptance of the institution's fiscal operations report and with respect to availability of funds.

**Deadlines:** None.

**Range of Approval/Disapproval Time:** Reimbursements are made upon acceptance of the fiscal operations reports.

**Appeals:** None.

**Renewals:** Not applicable. Payments are based on entitlements.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Under the National Defense Education Act, based on ratio of institutional matching monies. The grant replaces institutional funds (not less than one-tenth of loan) which were cancelled for teaching and/or military service. For loans cancelled pursuant to the Higher Education Act, the full amount cancelled is restored to the Fund at the institution.

**Length and Time Phasing of Assistance:** Reimbursement takes place upon acceptance of annual NDSLP fiscal operations report.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Fiscal-Operations Report is submitted by each institution at the close of each award year of operation (June 30).

**Audits:** Periodic audits of loan cancellation at participating institutions will be made in conformance with rules applicable to the NDSL program.

**Records:** Records pertaining to the eligibility of each loan recipient and to all fiscal management aspects of the program must be retained by the institutions for 5 years after the final transaction occurs or until an acceptable audit has been made and cleared--whichever is later.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0200-0-1-502.

**Obligations:** (Reimbursements) FY 81 $18,736,862; FY 82 est $14,800,000; and FY 83 est $2,500,000.

**Range and Average of Financial Assistance:** Minimum-maximum range of reimbursements to institutions, $1 to $365,684. Estimate average institutional reimbursement, $6,100.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1981, 1,861 institutions were reimbursed for an estimated 340,000 student loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR, Subpart D, Section 674.51 through 674.59.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Administrator for Student Financial Assistance, Department of Education Regional Offices (See Appendix IV).

**Headquarters Office:** Division of Program Operations, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Education, 400 Maryland Avenue S.W., Washington, DC 20202. Contact: Robert R. Coates. Telephone: (202) 245-2320.

**RELATED PROGRAMS:** 84.038, National Defense/Direct Student Loans.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.038 NATIONAL DEFENSE/DIRECT STUDENT LOANS

## (NDSL)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Public Law 89-329, Title IV, Part E; 20 U.S.C. 1087aa-1087ii; Public Laws 92-318, 94-482, 96-49, 95-566, and 96-374.

**OBJECTIVES:** To establish loan funds at eligible higher education institutions to permit needy undergraduate and graduate students to complete their education.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Institutions may use funds to make loans to needy, eligible students for meeting educational expenses. Institutions are entitled to an administrative cost allowance for expenditures which equal five (5) percent of the first $2,750,000, plus four (4) percent for expenditures greater than $2,750,000 but less than $5,500,000, plus three (3) percent for expenditures in excess of $5,500,000.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Higher education institutions (public, other nonprofit, and proprietary) meeting eligibility requirements (accreditation, post-secondary, etc.).

**Beneficiary Eligibility:** Undergraduate, graduate or professional students who need the assistance, in maintaining satisfactory progress in accordance with the standards and practices of the institution, are enrolled or accepted for enrollment as a regular student, are at least half-time students, do not owe refund on a Title IV grant and are not in default on a Title IV loan made for attendance at that institution, and meet citizen/resident requirements.

**Credentials/Documentation:** Institutions must document their eligibility (accreditation) and students must demonstrate financial need.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Representatives of the appropriate ED Regional Office are available for consultation. (See listing of ED Regional Offices in the address appendix). Students should contact the institution(s) they wish to attend.

**Application Procedure:** Participating institutions submit the Fiscal-Operations Report/Application, Form OE-646, to Participate in Federal Student Financial Aid Programs; which is mailed to institutions of postsecondary education each Fall by the Office of Student Financial Assistance. New institutions submit only the application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** The Office of Student Financial Assistance determines final awards and notifies participating institutions.

**Deadlines:** Specified on application. Usually in October and is indicated in the application packet. Appeal deadline is in February or March.

**Range of Approval/Disapproval Time:** Notices of tentative amounts sent in February; additional 60 to 90 days for final notices.

**Appeals:** Appeals may be made within approximately 3 weeks after the institution receives its tentative notification.

**Renewals:** Annual.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted among States according to statutory formula and regulations. The statistical factor used for fund allocation is the full-time enrollment in institutions of higher education (State) and the source is the "Fall Enrollment in Higher Education", NCES. The Consumer Price Index is used in computing the BEOG index, and BLS Low Income figures are used in the Uniform Methodology. Both are used in determining institutional need for campus-based funds, and, thus eligibility for the funds. Procedures are described in Sections 674.3 to 674.7 of the NDSL regulations printed in the federal Register on January 19, 1981. Institution must supply $1 for each $9 Federal.

**Length and Time Phasing of Assistance:** Funds are awarded for use by participating institutions for one award year at a time following the year of application.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A single combined Fiscal-Operations Report/Application form for NDSL, SEOG and CWS (ED 646) is submitted by each institution at the close of each award year of operation (June 30).

**Audits:** An institution may have itself audited according to ED guidelines by its own licensed or certified public accountants at its own expense, and is encouraged to do so annually, but must do so not less frequently than once every two years. Audits are perfomed at Government expense by the ED Audit Agency as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:** Fiscal records, student applications note files, repayment information and any records pertaining to a given fiscal year's activities must be retained for 5 years after satisfaction of the loan or the performance of an audit, whichever occurs later.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0200-0-1-502.

**Obligations:** (Federal Capital Contribution) FY 81 $186,000,000; FY 82 est $178,000,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Institutional, $200 to $3,554,965; student, $100 to $2,500; institutional average, $105,926; average loan to student, $825.

**PROGRAM ACCOMPLISHMENTS:** During the award period 1979-80, it is estimated that 3,350 institutions loaned $710,626,000 of NDSL funds to 861,364 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Part 674; information leaflet, no charge; Notification to Members of Congress, list of grantees published annually or as required, no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Students should contact the educational institution(s) they wish to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in appropriate ED Regional Office. (See Appendix IV of the Catalog).

**Headquarters Office:** Division of Program and Policy Development, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202. Telephone: (202) 245-9720. Contact: Margaret O. Henry.

**RELATED PROGRAMS:** 64.111, Veterans Educational Assistance; 64.117, Dependents Educational Assistance; 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.047, Upward Bound; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.039 LIBRARY RESEARCH AND DEMONSTRATION

### (HEA Title II-B)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education of 1965; Title II-B; Public Law 89-329, as amended by the Education Amendments of 1980, Public Law 96-374, Sections 201, 202, 223, 20 U.S.C. 1021, 1022 and 1033.

**OBJECTIVES:** To award grants and contracts for research and/or demonstration projects in areas of specialized services intended to improve library and information science practices.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Research and demonstration projects relating to the improvement of libraries including the promotion of economical and efficient information delivery, cooperative efforts related to librarianship, and developmental projects; the improvement of training in librarianship; the improvement of information technology, and for the dissemination of information derived from such projects with special emphasis on services to selected clientele. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult with the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applications for grants and contracts may be submitted by an institution of higher education; or a public or private agency, institution or organization.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies. (34 CFR Parts 75 and 77, appendices B-D).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** None.

**Award Procedure:** None.

**Deadlines:** No specific deadlines have been established. Requests for proposals are expected to be announced in the Commerce Business Daily. The deadlines for submitting proposals are 45 to 60 days after the announcement.

**Range of Approval/Disapproval Time:** From 60 to 90 days.

**Appeals:** None.

**Renewals:** Project grant or contract awards are made annually on a competitive basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Funds are awarded annually. Projects may run one to five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual and/or as negotiated.

**Audits:** Audits are performed by ED Audit Agency; no specified time.

**Records:** All records must be maintained for 5 years following completion of contract or grant. In all cases of audit questions, records must be maintained until resolution.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Contracts) FY 81 $235,826; FY 82 est $240,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $4,850 to $240,000; $18,834.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 2 contracts were awarded and ten studies were commissioned. Fiscal year 1982, estimate 1 contract.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Library Research and Demonstration, Rules and Regulations"; as published in the Federal Register July 20, 1981, pp. 37484 - 37486.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Library Programs, Office of Libraries and Learning Technologies, Office of Educational Research and Improvement, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Telephone: (202) 245-9530. Contact: Frank Stevens.

**RELATED PROGRAMS:** 84.034, Public Library Services; 84.036, Library Career Training; 84.091, Strengthening Research Library Resources.

**EXAMPLES OF FUNDED PROJECTS:** (1) A Library and Information Science Research Agenda for the 1980's and (2) Citizens' Information Needs and the Role of Library Networks and Consortia.

**CRITERIA FOR SELECTING PROPOSALS:** Evaluation criteria are set forth in each request for proposal. Awards are made to the offeror whose proposal represents a combination of technical merit and cost that are most favorable to the Government.

## 84.040 SCHOOL ASSISTANCE IN FEDERALLY AFFECTED AREAS—CONSTRUCTION

### (Impact Aid; Disaster Aid)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Federally Impacted Areas/School Districts with Major Disaster Damages; Public Law 81-815, as amended.

**OBJECTIVES:** To provide assistance for the construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities, or where reconstruction of facilities is necessary because of natural disaster.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** To construct and equip minimum school facilities as specified in the project application and approved by the Secretary. The receiving district determines the type, size, and location of the facilities to be constructed, hires the architect, and supervises the construction as if it were financed by local funds. Assistance granted under this program is limited by definition to legally constituted local or state educational agencies that provide free public elementary and secondary education. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Local educational agencies (LEA) which provide free public elementary or secondary education in Federally-impacted areas; local educational agencies, and certain public education agencies which provide technical, vocational, or other special education to children of elementary or secondary school age, where school facilities are damaged as a result of a declared natural disaster.

**Beneficiary Eligibility:** Public elementary and secondary school children.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Atttachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact statement is required for this program.

**Application Procedure:** Applications are submitted to the Secretary of Education through the State educational agency as specified in notices published in the Federal Register. A local educational agency may secure advice and an application from its State department of education.

**Award Procedure:** The Headquarters Office makes final decisions to award projects. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Established each year by notices for impact aid published in the Federal Register, usually on or about June 30; 90 days following a natural disaster.

**Range of Approval/Disapproval Time:** Varies from 2 months to 1 year after filing date; approval is dependent upon meeting eligibility criteria and availability of funds.

**Appeals:** Subject to hearing before the Secretary of Education, if requested.

**Renewals:** Approved construction projects may be revised during construction, subject to appropriate approvals.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula- Federal Impact Aid entitlement is based on the estimated increase in the membership of federally connected children at the end of a specific 4-year period. Federally connected membership includes children residing on, or residing with a parent employed on Federal property, including any low-rent housing project assisted under United States Housing Act of 1937. The base year is the year immediately preceding the 4-year increase period for which application is filed. Total membership may be estimated for 2 years beyond the end of the 4-year increase period for determining unhoused children. The payment a district can receive is determined by multiplying the number of children counted for payment by the specified rate of payment per child. There is no matching requirement. Disaster assistance is based on the actual cost to reconstruct the same area as that destroyed by the disaster.

**Length and Time Phasing of Assistance:** Office of Facilities Engineering provides technical services to applicants and the Division of Impact Aid in assuring that the applicant may construct the minimum school facilities authorized with Federal and, if necessary, additional local funds; that various assurances and other requirements are met; and in general monitors funded projects. After firm preliminary sketches and other requirements of the Act have been met, the project is approved and 10 percent of the total allotment is paid. When the basic contract has been let, an additional 50 percent is certified for payment and 30 percent additional is paid when the project is approximately 50 percent completed. The remaining 10 percent is paid after the project has been completed. Except for initial 10 percent payment, applicant must request additional payments when they are due.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with OMB Circular No. A-102 (Attachments H and I) and Education Division General Administrative Regulations (EDGAR) for direct project grant and contract programs, Part 100a, Subpart F. See 45 CFR Part 74, Subpart H, Standards for Grantees Financial Management Systems.

**Audits:** In accordance with OMB Circular No. A-102 (Attachment C) and Education Division General Administrative Regulations for direct project grant and contract programs, Part 100a, Subpart F. See 45 CFR Part 74, Subpart H, Standards for Grantees Financial Management Systems.

**Records:** In accordance with OMB Circular No. A-102 (Attachment C) and Education Division General Administrative Regulations, for direct project grant and contract programs, Part 100a, Subpart F. See 45 CFR Part 74, Subpart H, Standards for Grantees Financial Management Systems.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0102-0-1-501.

**Obligations:** (Grants) FY 81 $50,000,000; FY 82 est $19,200,000; and FY 83 est $3,000,000.

**Range and Average of Financial Assistance:** $2,000 to $3,000,000; average not applicable.

**PROGRAM ACCOMPLISHMENTS:** Grants in fiscal year 1981, provided assistance for construction needs resulting from increased military activities with the greater proportionate share providing assistance for school construction for children residing on Indian lands. It is estimated that 275 classrooms benefitting nearly 6,875 pupils were initiated. In fiscal years 1982 and 1983, emphasis will continue to be placed on meeting the critical construction needs on Federal installations.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 CFR 221, formerly Title 45 CFR 112 and 114, Information and Eligibility Requirements, no charge; Administration of Public Laws 81-874 and 81-815, Twenty-Eighth Annual Report of the Secretary of Education, September 30, 1979, OE 79-07300 ($4.00). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Impact Aid, Educational Support Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Telephone: (202) 245-8427. Contact: William Stormer.

**RELATED PROGRAMS:** 84.041, School Assistance in Federally Affected Areas—Maintenance and Operation.

**EXAMPLES OF FUNDED PROJECTS:** Additions of classrooms to existing buildings. Repairs of schools to incorporate Section 504 requirements, access to physically handicapped, and life safety. Construction of school buildings on Indian lands. Replacement of building destroyed by natural disasters.

**CRITERIA FOR SELECTING PROPOSALS:** Based on priority indices established by a combination of: 1). Ratio of federally connected children eligible for payment to the total membership in the district; and 2). Ratio of number of children unhoused (without school facilities) to the total membership.

## 84.041 SCHOOL ASSISTANCE IN FEDERALLY AFFECTED AREAS—MAINTENANCE AND OPERATION

### (Impact Aid/Disaster Aid)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Federally Impacted Areas, Titles I and IV, of Public Law 81-874, as amended.

**OBJECTIVES:** To provide financial assistance to local educational agencies when enrollments or availability of revenue are adversely affected by Federal activities where the tax base of a district is reduced through the Federal acquisition of real property, where there is a sudden and substantial increase in school attendance as the result of Federal activities; to assist local agencies in the education of children residing on Federal, including Indian, lands and children whose parents are employed on Federal property or in the Uniformed Service. To provide major disaster assistance for replacing or repairing damaged or destroyed supplies, equipment, books and for repairing minor damages to facilities.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** For payment of maintenance and operation expenditures. This does not limit nor specify the uses that can be made of funds received by an eligible district, except payments attributable to handicapped children. Most districts deposit the Federal payment in the general operating funds account together with all State and local funds available for current operating expenses and use this combined account to finance the school program in the district. Federal financial assistance is limited by definition to legally constituted local or State educational agencies that provide free public elementary and secondary education.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Local educational agencies (LEA) which provide free public elementary or secondary education may apply under the authorities. Section 2: 10 percent of the assessed valuation of property in the school district acquired by the Federal Government since 1938 must have caused a continuing financial burden; Section 3: provides assistance where 3 percent and 10 in number of total average daily attendance (ADA) or 400 ADA of pupils who either live on Federal property or have a parent who works on Federal property or is on active duty in the uniformed services, or 20 percent of children in ADA residing with parents who were in refugee status; Section 4: provides assistance where an increase in the ADA in current year is directly caused by Federal activities equal to 5 percent of non-Federal ADA of the preceding year; Section 7: provides assistance for current school expenditures in cases of major natural disasters.

**Beneficiary Eligibility:** Public elementary and secondary school children.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications are submitted to the Secretary of Education through the State educational agency. A local educational agency may secure advice and an application ED Form 4019 from its State department of education. Applications must show the membership of federally-connected children on the survey date chosen by the school district.

**Award Procedure:** The Headquarters Office makes final decisions. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Application ED Form 4019 must be received in the Washington Office by January 31 of school year of application. Disaster applications are due 90 days following publication of the major disaster announcement.

**Range of Approval/Disapproval Time:** Between February and June 30. Disaster aid within 90 days of the receipt of an application.

**Appeals:** Subject to hearing before the Secretary of Education, if requested.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Formula: Section 2- the otherwise assessed valuation times the tax rate required to balance the local budget while not exceeding current expense tax rate. The statistical factor used for fund allocation: Section 2 - Entitlement Computation Formula: Assessed valuation of federally owned real property if it were still on the tax rolls multiplied by the tax rate for current expenditures. This computation represents the maximum entitlements. Continuing need or burden are also included in formula. Source of data - Assessed valuation, records of tax rates, etc., are obtained from local or County Tax Assessors/Collectors. Burden or needs data obtained from school district fiscal records and pupil records. Section 3- the Federal ADA times local contribution rates. The statistical factors used for fund allocation: Section 3 - Entitlement Formula: Prior year's average daily attendance of all pupils divided by prior year's total membership is used to determine ratio. Ratio is then multiplied by each applicable category of federally connected pupils to determine federally connected ADA for payment purposes. Source of data - Average Daily Attendance and membership figures from prior applications, school district pupil accounting records or from State Education Department. Eligible federally connected pupils from actual pupil - parent survey forms. Section 4- the current per pupil cost of comparable districts less the State aid of applicant district. The statistical factors used for fund allocation: Section 4 - Entitlement Factors - Assuming eligibility requirements have been satisfied, entitlement is computed by applying the number of increased pupils and the amount the Secretary determines to be the current expenditure per child minus amounts available from State, local or other Federal sources. Source of data -Pupil- parent surveys, pupil accounting records and local district fiscal records. See 34 CFR 222 formerly 45 CFR 115. Statistical factors used for eligibility do not apply to this program. There are no matching requirements. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** A portion of entitlement is paid after approval of application; remainder paid usually in subsequent fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final report of disaster assistance is due one year after the initial application. In accordance with OMB Circular No. A-102 (Attachments H and I) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a, Subpart F.

**Audits:** Impact aid: Federal administrative reviews made at least once every three years. Disaster Aid: Federal review is made of expenditures prior to closing the case. In accordance with OMB Circular No. A-102 (Attachment C), ED General Provisions for Direct Project Grant and Contract Programs, Part 100a, Subpart F, and 45 CFR 74, Subpart H.

**Records:** In accordance with OMB Circular No. A-102 (Attachment C), ED General Provisions for Direct Project Grant and Contract Programs, Part 100a, Subpart F, and CFR, Subpart H.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0102-0-1-501.

**Obligations:** (Grants) FY 81 $706,750,000; FY 82 est $456,000,000; and FY 83 est $286,880,000.

**Range and Average of Financial Assistance:** From less than $1,000 to over $12,000,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, grants on behalf of an estimated 2,340,000 children will be awarded to local education agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 45 CFR, Part 115; Disaster Aid: Title 45, CFR 112; A Compilation of Titles I and IV of Public Law 81-874, as amended, no charge; Administration of Public Laws 81-874 and 81-815, Twenty-eighth Annual Report of the Secretary of Education, September 30, 1978, OE 79-07300, ($4.00). Available from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Impact Aid, Educational Support Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, 400 Maryland Ave, S.W., Washington, DC 20202. Telephone: (202) 245-8427. Contact William Stormer.

**RELATED PROGRAMS:** 84.040, School Assistance in Federally Affected Areas—Construction.

**EXAMPLES OF FUNDED PROJECTS:** Each and every grantee school district.

**CRITERIA FOR SELECTING PROPOSALS:** Grants are computed on the basis of eligible entitlements. Disaster aid: priority ranking established on basis of estimated repair costs compared to prior year total current expenditures.

## 84.042 SPECIAL SERVICES FOR DISADVANTAGED STUDENTS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Section 417A and 417D, Title IV of Higher Education Act of 1965 (Public Law 89-329) as amended by Sec. 405, Public Law 96-374. 94 Stat. 1407 and 1410; 20 U.S.C. 1070d, 1070d-1b.

**OBJECTIVES:** To identify qualified low-income, first-generation college students or physically-handicapped students, who are enrolled or accepted for enrollment by institutions that are recipients of grants, and to provide supportive services for these students who are pursuing programs of postsecondary education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used to provide eligible project participants personal and academic counseling, career guidance, tutoring, instruction in reading, study skills, and mathematics, and to facilitate the entrance of project participants into graduate and professional programs. Projects may also provide services that are specially designed for students of limited English proficiency. A grantee may not use the project to recruit students not enrolled or accepted for enrollment at the institution. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education.

**Beneficiary Eligibility:** Low—income, first—generation college students or physically—handicapped students who are enrolled or accepted for enrollment at the institution which is the recipient of the grant and who are in need of academic support in order to successfully pursue a program of postsecondary education. At least two-thirds of the project participants must be physically handicapped or low-income individuals who are first-generation college students. The remaining participants must be physically handicapped, low-income individuals, or first generation college students.

**Credentials/Documentation:** Costs will be determined in accordance with Education Department General Administrative Regulations (EDGAR).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Develop a proposal in accordance with regulations, application, and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202. This program is subject to the provisions of EDGAR.

**Award Procedure:** Federal staff and selected field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 646.31 and 34 CFR 646.32. Grants are awarded through the Assistance Management and Procurement Services.

**Deadlines:** A closing date for noncompeting continuation projects appeared in the Federal Register on February 5, 1982. No new projects will be funded in Fiscal Year 1982.

**Range of Approval/Disapproval Time:** 90 - 180 days after deadline for proposal submission.

**Appeals:** None.

**Renewals:** Multi-year continuation awards.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements.

**Length and Time Phasing of Assistance:** Three-year continuation awards.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports on an annual basis.

**Audits:** Program audits: In accordance with Education Department General Administrative Regulations 75.702, 74.61.

**Records:** In accordance with Education Department General Administrative Regulations 75.730.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $63,879,916; FY 82 est $57,376,000; FY 83 est $57,376,000.

**Range and Average of Financial Assistance:** $24,000 to $298,000; $104,209.

**PROGRAM ACCOMPLISHMENTS:** There will be 157,235 students served in fiscal year 1981. There will be an estimated 157,235 students served in fiscal years 1982 and 1983. In fiscal year 1981, 766 new and noncompeting continuation applications were received; and 613 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations, 34 CFR 646 and Education Department General Administrative Regulations (EDGAR). Applications can be obtained from the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Ave. S.W., Washington, DC 20202. No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Office of Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202. Telephone: (202) 426-8960. Contact: Richard T. Sonnergren.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.031, Higher Education—Strengthening Developing Institutions; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.038, National Defense/Direct Student Loans; 84.044, Talent Search; 84.047, Upward Bound; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers.

**EXAMPLES OF FUNDED PROJECTS:** Projects at colleges, universities, and community and junior colleges. Concentrates on students in post secondary education and provides support (counseling, tutoring, instruction, and other special services) for low-income, first-generation college students and for physically-handicapped students. Some projects also provide supportive services especially designed for students of limited English proficiency.

**CRITERIA FOR SELECTING PROPOSALS:** Selection criteria: (a) Continuation awards. Continuation awards are made on the basis of 34 CFR 75.253. (b) New awards. Except as provided in paragraph (a), the Secretary will select applicants to be funded under this part on the basis of the criteria set forth in 34 CFR 646.31. (A) The Secretary uses the criteria in this section to evaluate applications for new awards. The maximum score for all of the criteria is 100 points. (a) Plan of operation. (10 points) (i) The Secretary reviews each application for information that shows the quality of the plan of operation for this project. (b) Quality of key personnel. (10 points). (i) The Secretary reviews each application for information that shows the qualifications of the key personel the applicant plans to use on the project. (c) Budget and cost effectiveness. (5 points). (i) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective. (d) Evaluation plan. (10 points). (i) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project. (e) Adequacy of resources. (5 points). (i) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project. (f) Need for the project at the applicant institution. (25 points). To determine the need for a Special Services project at the institution applying for a grant, the Secretary looks for information that shows (i) The number and percentage of eligible students enrolled or accepted for enrollment at the institution; (ii) The academic and other problems that eligible students encounter at the institution; and (iii) A comparison between students who would be eligible for Special Services and the total enrollment at the institution on attrition rates, grade point averages, and graduate and professional school enrollment rates. (g) Likelihood of success. (20 points). To determine the likelihood of success of the proposed project, the Secretary looks for information that shows the comprehensiveness of the applicant's plan for (i) Identifying and selecting eligible students for the project; (ii) Conducting and individual needs assessment of supportive services for each participant; and (iii) Providing the needed supportive services; and (iv) Locating the project in an area that is accessible to participants. (h) Institutional commitment. (15 points). To determine the commitment of the applicant to the Special Services project, the Secretary looks for information that shows (1) The degree to which the administrative and academic policies, grading systems, retention policies, and probation procedures indicate institutional commitment to the participants' for graduating from the institution; (ii) The extent to which the institution has made available in previous year, educational opportunities for low-income students, first-generation college students, and physically—handicapped students; (iii) The extent to which the project director will contribute to administrative and academic policies at the institution; (iv) The extent to which the applicant proposes to inform the institutional community of the goals and objectives of the project; and (v) The extent to which the applicant will make available to the project institutional resources. (B) Past performance. For applicants that have conducted a Special services project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of 34 CFR 646.32. (C) Final selection. In the final selection of similarly rated applications, the Secretary considers the relative need for a project in the applicant institution as compared to the need in other applicant institutions.

## 84.044 TALENT SEARCH

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Section 417 A and 417B, Title IV of the Higher Education Act of 1965 Public Law 89-329), as amended by Section 405, Public Law 96-374, 94 Stat. 1407 and 1408; 20 U.S.C. 1070d, 1070d-1.

**OBJECTIVES:** To identify qualified youths with potential for postsecondary education; to assist them in continuing in and graduating from secondary school and in enrolling in programs of postsecondary education; to publicize the availability of student financial aid; and to increase the number of secondary and postsecondary school dropouts who reenter an educational program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are awarded to institutions and agencies to identify qualified youths with potential for postsecondary education, encourage them to complete secondary school and undertake postsecondary educational training, and publicize existing forms of student aid. Projects may also provide tutorial services for youths being encouraged to undertake or reenter programs of postsecondary education. A grantee may not use th project as a part of its recruitment program. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, public and private agencies and organizations (including professional and scholarly associations), and, in exceptional cases, secondary schools.

**Beneficiary Eligibility:** Low-income individuals who are potential first-generation college students with potential for postsecondary education, including high school and college dropouts and those who have graduated from secondary school but delayed pursuing postsecondary education. (Required low-income criteria for students are stated in application materials.) Two-thirds must be low-income individuals who are also potential first-generation college students. Project participants must be between 12 and 27 years old (exceptions allowed).

**Credentials/Documentation:** Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Develop a proposal in accordance with regulations, application, and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:** Federal staff and selected field readers evaluate new percentage of students from each target school who enrolled in postsecondary institutions. (g) Likelihood on the basis of the selection criteria specified in 34 CFR 643.31 and 34 CFR 643.32. Grants are awarded through the Assistance Management and Procurement Services.

**Deadlines:** The notice for new projects appeared in the Federal Register on February 19, 1982. The deadline date for new projects is April 16, 1982.

**Range of Approval/Disapproval Time:** 90-180 days.

**Appeals:** None.

**Renewals:** None. In fiscal year 1982 only new projects will be funded.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements.

**Length and Time Phasing of Assistance:** Three-year continuation awards beginning by September 1982.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports on an annual basis.

**Audits:** In accordance with the Education Department General Administrative Regulations (EDGAR). (75.702, 74.61)

**Records:** In accordance with 34 CFR 75.730.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $17,112,905; FY 82 est $15,488,000; FY 83 est $0.

**Range and Average of Financial Assistance:** $59,000 to $1,237,000; $100,664.

**PROGRAM ACCOMPLISHMENTS:** An estimated 198,243 students will be served in fiscal year 1981. In fiscal year 1981, 248 new and noncompeting continuation applications were received; and 170 awards were made. An estimated 180,000 students will be served in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** EDGAR and 34 CFR 643; Applications can be obtained from the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Ave. S.W., Washington, DC 20202. No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Office of Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 426-8960. Contact: Richard T. Sonnergren.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.047, Upward Bound; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers; 84.103, Training for Special Programs Staff and Leadership Personnel.

**EXAMPLES OF FUNDED PROJECTS:** Projects to institutions of higher education and public and private agencies and organizations to provide low-income, potential first-generation college students with information on existing forms of financial aid. Encourage qualified students to return to or continue in and graduate from secondary school and enroll in programs of postsecondary education.

**CRITERIA FOR SELECTING PROPOSALS:** Selection criteria. (a) Continuation awards. Continuation awards are made on the basis of 34 CFR 75.253. (b) New awards. Except as provided in paragraph (a) the secretary will select applicants to be funded under this part on the basis of the criteria set forth in 34 CFR 643.31. (A) The Secretary uses the criteria in this paragraph to evaluate applications for new grants. The maximum score for all of the criteria is 100 points. (a) Plan of operation. (10 points) (i) The Secretary reviews each application for information that shows the quality of the plan of operation for the project. (b) Quality of key personnel. (10 points) (i) The Secretary reviews each application for information that shows the qualification of the key personnel the applicant plans to use on the project. (c) Budget and cost effectiveness. (5 points) (i) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective. (d) Evaluation plan. (10 points) (i) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project. (e) Adequacy of resources. (5 points) (i) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project. (F) Need for the project. (25 points). To determine the need for a Talent Search project in the area, the Secretary looks for information that shows (i) The number and percentage of eligible individuals who reside in the target area and who attend target schools; (ii) The extent to which the target area lacks Talent Search services and activities; (iii) The estimated dropout rate for each of the target schools, and (iv) The estimated number and percentage of students from each target school who enrolled in postsecondary institutions. (g) Likelihood of success. (20 points). (i) The extent to which the project will, in the target area, increase the rate of secondary school completion and postsecondary school admissions, and increase the number of secondary and postsecondary dropouts who reenter secondary and postsecondary educational programs; and (ii) The comprehensiveness of the applicant's plan for--(1) Identifying eligible participants with potential for postsecondary education; (2) Encouraging qualified individuals to complete secondary school and undertake program of postsecondary education; (3) Disseminating information on student financial aid to the target population; (4) Assisting youths in gaining admission or readmission to secondary schools and a variety of postsecondary institutions. (h) Community support. (15 points). (i) The extent to which the applicant plans to publicize and inform the target schools and residents of the target area of the services provided by the Talent Search project; and (ii) The extent to which the applicant has received written commitments by community and other relevant organizations for the use of community and other resources to supplement authorized activities. (B) Past performance. For applicants that have conducted a Talent Search project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of 34 CFR 643.32. (C) Final selection. In the final selection of similarly rated applications, the Secretary considers the relative need for a project in the area the applicant proposes to serve as compared to the need in areas other applicants propose to serve.

### 84.046 CONTINUING EDUCATION OUTREACH—STATE ADMINISTERED PROGRAM

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965; Title IB, Public Law 89-329;20 U.S.C. 1001 as amended by Public Law 90-575; 20 U.S.C. 1001, 1005, and 1006; Public Law 92-318; 20 U.S.C. 1001, 1006-1011; and Public Law 94-482, 20 U.S.C. 1001-1005, 1006-1008, 1010-1011; Public Law 96-374, Title I, Part B, 20 U.S.C. 1011-1015, 1018-1019.

**OBJECTIVES:** To increase access to programs of postsecondary continuing education for adults whose educational needs have been inadequately served by consolidating Federal assistance for comprehensive statewide planning, the provision of information services, and continuing education into one program.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Each State will use its allotment as follows: fifteen to twenty percent for comprehensive statewide planning, with fifty percent of such funds being used for continuing education planning; twelve percent or $50,000, whichever is greater, for providing educational information and counseling services; and the balance of such funds to make grants to and enter into contracts with public and private institutions and organizations, institutions of higher education, business, industry, and labor, or any combination thereof, for continuing education programs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States that have entered into a Federal-State relationship with the Secetary as required by Section 1203 of the Act for participation in this program receive funds. Public and private institutions and organizations, institutions of higher education, business, industry and labor, or any combination thereof, may apply to the State agency for program funds to provide educational and occupational information and counseling services and continuing education programs.

**Beneficiary Eligibility:** Adults whose educational needs have been inadequately served, and States.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** No application required. This is an entitlement program. Federal funds are awarded to the State agency which has entered into the agreement described above through the Headquarters Office listed below.

**Award Procedure:** Awards are made to states on the basis of allotment tables provided by the National Center for Education Statistics based on the formula described below. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** No applicaton required from a State. The Agency sets its own deadline for receipt of proposals.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are provided on a 66-2/3 percent Federal 33-1/3 percent non-Federal matching basis. Funds are distributed each fiscal year to States having an agreement under Section 1203 of the Act as follows: (1) 60 percent of the available funds are alloted on the basis of the ratio of each State's adult population to the total adult population of all States; and (2) 40 percent of the available funds are alloted on an equal basis to all States, except than no state will receive less than $187,500. The source is the "Current Population Reports", Bureau of the Census. Statistical factors for eligibility do not apply to this program. If appropriation level is insufficient to provide the minimum of $187,500, State allotments are ratably reduced. Funds are made available to the State after the initial year after the Secretary receives a satisfactory annual report.

**Length and Time Phasing of Assistance:** Funds are obligated to the States during the fiscal year of allotment. Funds remain available to the states for expenditure until the close of the succeeding fiscal year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports are required at the end of each fiscal year on each part of the program.

**Audits:** ED audits the records relating to the expenditures by the State agency. The State agency audits the funds expended by subgrantees or contractors participating in the program.

**Records:** The State agency shall maintain all records necessary for an accurate and expeditious audit for 5 years after the close of the fiscal year in which expenditure was made by the State agency or participating institution or organization or until the State agency is notified of the completion of the Federal audit whichever is earlier.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $2,200,000; FY 82 $0. (A rescission of $12,800,000 for FY 81 funds was carried out, and no funds have been proposed in FY 82 for this program.) FY 83 est $0.

**Range and Average of Financial Assistance:** Grants to participating states for FY 80 range from $96,541 to $1,055,035. These amounts are the totals of the three formerly separately authorized programs.

**PROGRAM ACCOMPLISHMENTS:** This program will operate for the first time in fiscal year 1983, should funds be made available. In fiscal year 1980 the majority of States participated in the three formerly separately authorized programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** CFR: Proposed regulations published in the Federal Register on December 30, 1980: 34 CFR Part 605. Final regulations published on September 23, 1981.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Institutional and State Incentive Programs, Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202. Telephone: (202) 245-9868. Contact: Edwin J. Neumann.

**RELATED PROGRAMS:** 27.009, Training Assistance to State and Local Governments; 84.002, Adult Education—State Administered Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable at this time. FY 1983 will be first year of program operations, should funds be made available.

**CRITERIA FOR SELECTING PROPOSALS:** Entitlement grant to States: States establish their own selection criteria for sub-grants and contracts.

## 84.047 UPWARD BOUND

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Sections 417a-417c, Title IV of the Higher Education Act of 1965 (Public Law 89-329), as amended by Section 405, Public Law 96-374, 94 Stat. 1407 and 1409; 20 U.S.C. 1070d, 1070d-1a.

**OBJECTIVES:** To generate skills and motivation necessary for success in education beyond high school among low-income youths who are potential first-generation college students. The goal of the program is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary educational programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are awarded to eligible grantees to provide academic instructional programs, personnal and academic counseling, career guidance and special instruction to prepare project participants for careers in which persons from disadvantaged backgrounds are particulary underrepresented, tutoring, and exposure to cultural events and academic programs. Funds may be used to support a residential summer program and academic year program, and to pay stipends to students, not to exceed $40 a month during the academic year and $60 a month during the summer. JOINT FUNDING: This program is considered suitable for joint funding with other closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, public and private agencies, and, in exceptional cases, secondary schools.

**Beneficiary Eligibility:** Low-income individuals who are also potential first-generation college students and who have a need for academic support in order to successfully pursue a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first-generation college students. The remaining participants must be either low-income individuals or potential first-generation college students. Required low-income criteria are stated in application materials. Except for veterans, who can be served regardless of age, project participants must be between 13 and 19 years old.

**Credentials/Documentation:** Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Develop a proposal in accordance with regulations, application and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryand Avenue, S.W., Washington, DC 20202. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:** Federal staff and selected field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 645.31 and 34 CFR 645.32. Grants are awarded through the Assistance Management and Procurement Services.

**Deadlines:** A closing date for noncompeting continuation projects appeared in Federal Register on Feruary 5, 1982. No new projects will be funded in fiscal year 1982.

**Range of Approval/Disapproval Time:** From 90 to 180 days from the time the application is submitted.

**Appeals:** None.

**Renewals:** Multi-year continuation awards.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements.

**Length and Time Phasing of Assistance:** Three-year continuation awards.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports are submitted on an annual basis.

**Audits:** In accordance with the Education Department General Administrative Regulations (EDGAR), 75.702, 74.61.

**Records:** In accordance with EDGAR (75.730).

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $66,488,373; FY 82 est $59,576,000; and FY 83 est $24,875,000.

**Range and Average of Financial Assistance:** $24,000 to $372,000; $149,077.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that 37,680 students will be served in fiscal year 1981 and 1982; and that 14,847 students will be served in fiscal year 1983. In fiscal year 1981, 510 new and noncompeting continuation applications were received; and 446 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** EDGAR and Regulations, 34 CFR Part 645. Applications can be obtained from the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Ave. S.W., Washington, DC 20202. No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Office of Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202. Telephone: (202) 426-8960. Contact: Richard T. Sonnergren.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.063, Pell Grant Program; 84.066, Educational Opportunity Centers; 84.103, Training for Special Programs Staff and Leadership Personnel.

**EXAMPLES OF FUNDED PROJECTS:** Grants to colleges, universities and other institutions to generate skills and motivation necessary for low-income, potential first-generation college students to be successful in postsecondary institutions. Projects provide participants academic instructional programs, personal and career guidance, and exposure to cultural and academic events. Both regular and Veterans Upward Bound projects are funded. Regular Upward Bound projects provide high school students both summer and academic year components.

**CRITERIA FOR SELECTING PROPOSALS:** Selection criteria. (a) Continuation awards. Continuation awards are made on the basis of 34 CFR 75.253. (b) New awards. Except as provided in paragraphs (a) of this section, the Secretary will select applicants to be funded for new awards under this part on the basis of the criteria set forth in 34 CFR 645.31. (A) The Secretary uses the criteria in this paragraph to evaluate applications for new awards. The maximum score for all of the criteria is 100 points. (a) Plan of operation. (10 points) (i) The Secretary reviews each application for information that shows the quality of the plan of operation for the project. (b) Quality of key personnel. (10 points) (i) The Secretary reviews each application for information that shows the qualificiations of the key personnel the applicant plans to use on the project. (c) Budget and cost effectiveness. (5 points) (i) The Secretary reviews each application for information showing that the project has an adequate budget and is cost effective. (d) Evaluation plan. (5 points) (i) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project. (e) Adequacy of resources. (5 points) (i) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the projects. (f) Need for the project. (25 points). To determine a need for an Upward Bound project in the area, the the Secretary looks for information that shows (i) The extent to which the target area lacks the services and activities provided by an Upward Bound project; (ii) The estimated number of students enrolled in target schools who are from low-income families; (iii) The estimated number and percentage of low-income students who enroll in postsecondary education; (vi) The ratio of secondary school counselors to students in the target schools; (v) The dropout rate of students from the schools; and (vi) For Veterans Upward Bound projects, the number of veterans in the target area who are eligible for and need Upward Bound services. (g) Likelihood of success. (20 points). The Secretary looks for information that shows the extent to which the project is likely to (i) Generate academic skills and motivation that will enable the participants to complete a secondary educational program and to; (ii) Enable participants to attain those academic skills such as reading, writing, mathematics, and study skills, that are essential for postsecondary education and in which the paticipants are deficient. The Secretary also looks for information that shows the comprehensiveness of the applicant's plan for (i) Identifying and selecting eligible participants; (ii) Diagnosing each participant's need for academic support; and (iii) Developing a plan of program support to improve each participant's skills; and (iv) Providing the activities and services. (h) Institutional and community support. (15 points). The Secretary looks for information that shows (i) The extent to which the applicant has identified institutional, community, and other resources to supplement authorized activities; and (ii) The plan to inform the residents of the target area, target schools and the institutional community of the goals and objectives of the Upward Bound project and the selection criteria for acceptance into the project. (B) Past performance. For applicants that have conducted an Upward Bound project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of 34 CFR 645.32. (C) Final selection. In the final selection of similarly rated applications, the Secretary considers the relative need for a project in the area the applicant proposes to serve as compared to the need in areas other applicants propose to serve.

## 84.048 VOCATIONAL EDUCATION—BASIC GRANTS TO STATES

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, as amended by Title II of the Education Amendments of 1976, Public Law 94-482; 20 U.S.C. 2301 to 2461; 90 Stat. 2168-2213.

**OBJECTIVES:** To assist states in improving planning and in conducting vocational programs on the local level for persons of all ages who desire and need education and training for employment.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** For vocational education programs; cooperative vocational education programs; energy education programs; construction of area vocational education school facilities; support of full-time personnel to eliminate sex bias; provision of stipends if necessary due to inadequate funding in other programs; placement services for students who have successfully completed vocational education programs if necessary due to inadequate funding in other programs; industrial arts programs; support services for women who enter programs designed to prepare individuals for employment in jobs which have been traditionally limited to men; day care services for children of vocational students; vocational education for displaced homemakers and other special groups; construction and operation of residential vocational schools; vocational training through arrangements with private vocational training institutions; and State and local administration costs. Each State must use 80 percent of its allotment under Section 102(a) for these purposes. Each State must also allocate the following minimum portions of their total allotment under Section 102(a) as follows: $50,000 to support full-time personel to eliminate sex bias, 20 percent for vocational education for the disadvantaged and for persons who have limited English-speaking ability and for stipends; 15 percent for postsecondary and adult vocational education; and 10 percent for vocation education programs for handicapped persons. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Boards for Vocational Education.

**Beneficiary Eligibility:** Individuals requiring vocational training.

**Credentials/Documentation:** Establishment of a State Advisory Council and certification of five-year State Plan, annual program plan and accountability report by the State board for Vocational Education. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Five-year State Plans, annual program plans and accountability report must be prepared with the active participation of representatives of 10 agencies, councils and individuals and consultation with the State Advisory Council. State

Plans are subject to public hearings and must be available to the public. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Submission of five-year State Plan, annual program plan and accountability report to the Assistant Secretary for Vocational and Adult Education.

**Award Procedure:** Assistant Secretary for Vocational and Adult Education approves five-year State Plan, annual program plan and accountability report. When funds become available, the Assistant Secretary for the Office of Vocational and Adult Education (OVAE) transmits formal notification of award to the State board. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1.

**Range of Approval/Disapproval Time:** Approximately 30-120 days.

**Appeals:** A State board which is dissatisfied with the final action of the Assistant Secretary in disapproving a State plan is afforded reasonable notice and opportunity for a hearing. If still dissatisfied, may appeal to the appropriate United States Court of Appeals.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted on the basis of an amount which bears the same ratio to 50 percent, 20 percent, 15 percent, of the sums being allotted, as the product of the population (statistical factors) aged 15-19, 20-24, 25-65, each inclusive and corresponding to percent of sums, in the State in the preceding fiscal year, and the State's allotment ratio, bears to the sum of the corresponding products for all the states; plus an additional 15 percent based on the above formula. The source is the relative State separate factors latest estimate in the "Current Population Reports" by state from the Bureau of the Census. Age cohorts published by NCES. No State's allotment under Section 103(a) shall be less than $200,000. The allotment ratio for any State shall be 1.00 less the product of 0.50, and the quotient obtained by dividing the per capita income for the State by the per capita income for all the states (exclusive of Puerto Rico and the outlying territories), except that the allotment ratio in no case shall be more than for the total program and for each of the national priority programs, 0.60 or less than 0.40, and the allotment ratio for the outlying territories shall be 0.60. The source is the Bureau of Economic Analysis. Matching is 50/50 for the handicapped, priorty for the disadvantaged, priority for state administration for local administration and for the overall program except for American Samoa, Guam, Northern Mariana Islands, Virgin Islands and the Trust Territories of the Pacific which is 100 percent Federal. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Fiscal year. Funds appropriated during any fiscal year which are not obligated or expended prior to the beginning of the next fiscal year, shall remain available for obligation and expenditure during such succeeding fiscal year. States draw funds as needed under Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Accountability Reports, VEDS reports, and OCR Annual Compliance Reports; continuous evaluation (each program once each five years) by State Board and annual evaluation by the State Advisory Council.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, 34 CFR 76.730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $518,139,000; FY 82 est $394,919,000. (Note: appropriation year shown. States use funds the following year.); FY 83 est This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $156,526 to $45,625,470; $9,077,000. (FY 1981 figures)

**PROGRAM ACCOMPLISHMENTS:** Approximately 5.6 million persons served in occupationally specific instructional programs and approximately 7.8 million person served in general vocational instructional programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations, Title 34 CFR, part 400.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See the Appendix IV for a list of the addresses of ED regional offices.

**Headquarters Office:** Division of State Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Telephone: (202) 472-3440. Contact: LeRoy A. Cornelsen.

**RELATED PROGRAMS:** 17.232, Comprehensive Employment and Training Programs; 23.002, Appalachian Supplements To Federal Grant-in-Aid (Community Development); 23.012, Appalachian Vocational and Other Education Facilities and Operations; 84.027, Handicapped Preschool and School Programs; 84.049, Vocational Education—Consumer and Homemaking Education; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.053, Vocational Education—State Advisory Councils; 84.077, Bilingual Vocational Training; 84.078, Regional Education Programs for Deaf and Other Handicapped Persons.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.049 VOCATIONAL EDUCATION—CONSUMER AND HOMEMAKING EDUCATION

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, as amended by Title II of the Education Amendments of 1976, Subpart 5, Public Law 94-482; 20 U.S.C. 2301-2461; 90 Stat. 2168-2213.

**OBJECTIVES:** To assist states in conducting programs in consumer and homemaking education. Emphasis is placed on programs located in economically depressed areas or areas of high rates of unemployment.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are used solely for (1) educational programs in consumer and homemaking education consisting of instructional programs, services, and activities at all educational levels for the occupations of homemaking including but not limited to, consumer education, food and nutrition, family living and parenthood education, child development and guidance, housing and home management (including resource management), and clothing and textiles which (A) encourage participation of both males and females to prepare for combining the roles of homemakers and wage earners; (B) encourage elimination of sex stereotyping in consumer and homemaking education by promoting the development of curriculum materials which deal (i) with increased numbers of women working outside the home, and increased numbers of men assuming homemaking responsibilities and the changing career patterns for women and men and (ii) with appropriate Federal and State laws relating to equal opportunity in education and employment; (C) give greater consideration to economic, social, and cultural conditions and needs especially in economically depressed areas such courses may include where appropriate bilingual instruction; (D) encourage outreach programs in communities for youth and adults giving consideration to special needs such as, but not limited to, aged, young children, school-age parents, single parents, handicapped persons, educationally disadvantaged persons, and programs connected with health care delivery systems, and programs providing services for courts and correctional institutions; (E) prepare males and females who have entered or are preparing to enter the work of the home; (F) emphasize consumer education, management of resources, promotion of nutritional knowledge and food use, and parenthood education to meet the current societal needs, and (2) ancillary services, activities and other means of assuring quality in all homemaking education programs such as teacher training and supervision, curriculum development, research, program evaluation, special demonstration, and experimental programs, development of instructional materials, exemplary projects, provision of equipment, and State administration and leadership. States must use at least 1/3 of the Federal funds allotted in economically depressed areas or areas with high rates of unemployment. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State boards for vocational education.

**Beneficiary Eligibility:** Individuals requiring training as homemakers.

**Credentials/Documentation:** Establishment of an overall State Vocational Advisory Council and certification of five-year State plan, annual program plan and accountability report by the State board for Vocational Education. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Five-year State plans, annual program plans and an accountability report must be prepared with the active participation of representatives of ten agencies, councils and individuals and in consultation with the State Advisory Council. State Plans are subject to a public hearing and must be available to the public. Applications are subject to review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Submission of five-year State plan, annual program plan and an accountability report to the Assistant Secretary for Vocational and Adult Education.

**Award Procedure:** Assistant Secretary for Vocational and an Adult Education approves five-year State plan, annual program plan and an accountability report. When funds become available the Assistant Secretary for the Office of Vocational and Adult Education (OVAE) transmits formal notification of award to the State board. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1.

**Range of Approval/Disapproval Time:** Approximately 30 to 120 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted on the basis of an amount which bears the same ratio to 50 percent, 20 percent, 15 percent of the sums being of the population (statistical factors) aged 15-19, 20-24, 25-65, each inclusive and corresponding to percent of sums, in the State in the preceding fiscal year, and the State's allotment ratio, bears to the sum of the corresponding products for all the states; plus an additional 15 percent based on the above formula. The source is the relative State separate factors latest estimate in the "Current Population Reports" by State, Bureau of Census. The allotment ratio for any State shall be 1.00 less the product of 0.50, and the quotient obtained by dividing the per capita income for the State by the per capita income for all the states (exclusive of Puerto Rico and the outlying areas), except that the allotment ratio in no case shall be more than 0.60 or less than 0.40, and the allotment ratio for the outlying areas shall be 0.60. The source is the Bureau of Economic Analysis. Matching is 50/50 except that 90 percent Federal may be paid for programs in economically depressed areas. Age cohorts published by NCES.

**Length and Time Phasing of Assistance:** Fiscal year. Funds appropriated during any fiscal year which are not obligated or expended prior to the beginning of the next fiscal year, shall remain available for obligation and expenditure during the succeeding fiscal year. States draw funds as needed under Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Accountability Reports, VEDS reports, and OCR Annual Compliance Reports; continuous evaluation (each program once each five years) by State Board and annual evaluation by the State Advisory Council.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, 34 CFR 76.730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $30,347,000; FY 82 est $29,133,000; (Note: appropriation year shown. States use funds the following year.) FY 83 est This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $9,180 to $2,676,000; $532,000. (FY 1981 figures.)

**PROGRAM ACCOMPLISHMENTS:** 3,658,475 participants in this program during school year 1978-79.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations, Title 34 CFR, Part 400; Career Education-Government Printing Office, $0.20.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See the Appendix IV for a list of the addresses of ED regional offices.

**Headquarters Office:** Director, Division of State Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Contact: LeRoy A. Cornelsen. Telephone: (202) 472-3440.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.053, Vocational Education—State Advisory Councils; 84.101, Vocational Education—Program for Indian Tribes and Indian Organizations.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.050 VOCATIONAL EDUCATION—PROGRAM IMPROVEMENT AND SUPPORTIVE SERVICE

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, as amended by Title II of the Education Amendments of 1976, Public Law 94-482; 20 U.S.C. 2301-2461; 90 Stat. 2168-2213.

**OBJECTIVES:** To assist the states in improving their programs of vocational education and in providing supportive services for such programs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To support State research coordination units (RCU) and for contracts by RCU's for research programs, exemplary and innovative programs, and curriculum development programs. To support vocational guidance and counseling programs and services, provision of preservice and inservice training, grants to overcome sex bias, and State and local administration costs. State must use 20 percent of its allotment under Section 102(a) for these purposes and not less than 20 percent of the above amount for vocational guidance and counseling. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Boards for Vocational Education.

**Beneficiary Eligibility:** Research coordination units contract institutions, firms, eligible recipients and individuals (Sections 131, 132, 133) and States make grants or negotiate contracts for Subpart 3.

**Credentials/Documentation:** Establishment of a State Advisory Council and certification of five-year State Plan annual program plan and accontability report by the State board for Vocational Education. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State Plan deadline is July 1.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Five-year State Plans, annual program plans, and accountability reports must be prepared with the active participation of representatives of 10 agencies, councils and individuals and in consultation with the State Advisory Council. State Plans and reports are subject to public hearings and must be available to the public. Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submission of five-year State Plan, annual program plan and accountability report to the Assistant Secretary for Vocational and Adult Education.

**Award Procedure:** Assistant Secretary for Vocational and Adult Education approves five-year State Plan, annual program plan and accountability report. When funds become available, the Assistant Secretary for the Office of Vocational and Adult Education (OVAE) transmits formal notification of grant award to the State board. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1.

**Range of Approval/Disapproval Time:** Approximately 30 to 120 days.

**Appeals:** A State board which is dissatisfied with the final action of the Assistant Secretary in disapproving its application is afforded reasonable notice and opportunity for a hearing. If still dissatisfied, it may appeal to the appropriate United States Court of Appeals.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted on the basis of an amount which bears the same ratio to 50 percent, 20 percent, 15 percent, of the sums being allotted, as the product of the population aged 15-19, 20-24, 25-65, each inclusive and corresponding to percent of sums, in the State in the preceding fiscal year, and the State's allotment ratio, bears to the sum of the corresponding products for all the states; plus an additional 15 percent based on the above formula. The source is the relative State separate factors latest estimate in the Current Population Reports by State, Bureau of Census. No State's allotment under Section 103(a) shall be less than $200,000. The allotment ratio for any State shall be 1.00 less the product 0.50 and the quotient obtained by dividing the per capita income for the State by the per capita income for all the states (exclusive of Pureto Rico and the outlying territories), except that the allotment ratio in no case shall be more than 0.60, or less than 0.40, and the allotment ratio for the outlying territories shall be 0.60. The source is the Bureau of Economic Analysis. Matching is 50/50 for the total program and for each of the national priority programs, except for American Samoa, Guam, Northern Mariana Islands, Virgin Islands and the Trust Territory of the Pacific which is 100 percent Federal. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Age cohorts published by NCES.

**Length and Time Phasing of Assistance:** Fiscal year. Funds appropriated during any fiscal year which are not obligated or expended prior to the beginning of the next fiscal year, shall remain available for obligation and expenditure during the succeeding fiscal year. States draw funds as needed under Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Accountability Reports, VEDS reports, and OCR Annual Compliance Reports; continuous evaluation (each program once each five years) by State Board and annual evaluation by the State Advisory Council.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, 34 CFR 76.730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $93,323,000; FY 82 est $88,130,000. (Note: year of appropriation shown. States use funds the following year.) FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $28,639 to $8,348,011; $1,661,000. (FY 1981 figures).

**PROGRAM ACCOMPLISHMENTS:** 796 Program Improvement Projects operated by State and local education agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations Title 34 CFR, Part 400.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for a list of the addresses of ED regional offices.

**Headquarters Office:** Director, Division of State Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Contact: LeRoy A. Cornelsen. Telephone: (202) 472-3440.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.049, Vocational Education—Consumer and Homemaking Education; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.053, Vocational Education—State Advisory Councils; 84.077, Bilingual Vocational Training.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.051 VOCATIONAL EDUCATION—PROGRAM IMPROVEMENT PROJECTS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, Title I, Part B, Subpart 2, Section 171, as amended by the Education Amendments of 1976, Public Law 94-482, Title II; 20 U.S.C. 2401; 90 Stat. 2201.

**OBJECTIVES:** To provide support for (1) a National Center for Research in Vocational Education; (2) projects for research, curriculum development, and demonstration in vocational education; and (3) 6 curriculum coordination centers.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Awards may only be made for projects that fit within the definition of vocational education. Grants may only be awarded if the applicant can demonstrate a reasonable probability that such a grant will result in improved teaching techniques or curriculum materials will be used in a substantial number of classrooms or other learning situations within 5 years after the termination date of such grants. This program makes all announcements for Grants in the Federal Register. Contract competitions are announced in the Commerce Business Daily.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public organizations, institutions, and agencies; nonprofit and profit-making private organizations, institutions, and agencies; and individuals. Eligible applicants for the National Center for Research in Vocational Education include nonprofit agencies only and this competition is held every five years.

**Beneficiary Eligibility:** Broad field of vocational education.

**Credentials/Documentation:** Legal signature by a designated official on the contract proposal. For contracts, costs will be determined in accordance with Federal Government procurement regulations.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** The proposal must be prepared in accordance with program announcements in the Commerce Business Daily. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are reviewed, approved, and after negotiation, ED Form 554 plus general provisions (contracts) is sent to the recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Proposals are reviewed, and after negotiation, contracts are signed by both parties.

**Deadlines:** Requests for Proposals (RFP) are released at various times throughout the fiscal year with most coming out during the second quarter. Procurements are synopsized in the Commerce Business Daily which also contains information about where copies of the RFP can be obtained.

**Range of Approval/Disapproval Time:** 90 to 120 days.

**Appeals:** For grants, not applicable; for contracts, as specified in Federal Procurement Regulations, 41 CFR 1-2 407-8.

**Renewals:** For the National Center for Research in Vocation, yearly for a maximum award period of 5 years. For project contracts, yearly up to a maximum award period of 3 years.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching is required.

**Length and Time Phasing of Assistance:** Variable, depending upon the particular needs of each contract.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Specific reporting requirements are contained in the Request for Proposal and contract document.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of contract.

**Records:** See ED General Administrative Regulations, Title 34 CFR 75. 730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Contracts) FY 81 $7,477,000; FY 82 est $7,178,000; FY 83 est This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $100,000 to $5,000,000; $226,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, the Secretary awarded 8 procurement contracts to study access to vocational education and economic development in depressed areas; to improve the dissemintion capabilities of states; and to use vocational education to improve productivity. These projects were selected from 31 proposals submitted. A contract was also awarded in fiscal year 1978 to establish a National Center for Research in Vocational Education for a five year period. No grant applications were solicited.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations, 34 CFR Part 408.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for a list of the addresses of ED Regional Offices.

**Headquarters Office:** Division of National Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Contact: Doris V. Gunderson. Telephone: (202) 245-2614.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.050, Vocational Education—Program Improvement and Supportive Service.

**EXAMPLES OF FUNDED PROJECTS:** An institute has field tested materials for vocational education curriculum specialists; A foundation has developed a media presentation on mainstreaming the handicapped; a project has developed individual education plans for handicapped students in vocational education, methods of credentialing women's life experiences were developed; and, materials were developed for using volunteers in vocational education programs.

**CRITERIA FOR SELECTING PROPOSALS:** Each request for proposal contains weighted evaluation criteria which are unique to the particular requirements of the individual procurement. A typical set of criteria would be: (1) Technical Approach (40 points), (2) Management Plan (20 points), (3) Staff Competencies and Experience (15 points), (4) Evaluation Plan (15 points), and (5) Institutional Capability (10 points).

## 84.052 VOCATIONAL EDUCATION—SPECIAL PROGRAMS FOR THE DISADVANTAGED

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, as amended by Title II of the Education Amendments of 1976, Public Law 94-482; 20 U.S.C. 2301-2461; 90 Stat. 2168-2213.

**OBJECTIVES:** To provide special vocational education programs for persons who have academic, or economic handicaps and who require special services and assistance in order to enable them to succeed in vocational education programs.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds appropriated under Section 102(b) may be used only for special vocational education programs for the disavantaged and allocated within the State to areas of high concentrations of youth unemployment and school dropouts. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Boards for Vocational Education.

**Beneficiary Eligibility:** Disadvantaged individuals.

**Credentials/Documentation:** Establishment of an overall State Vocational Advisory Council and certification of five-year State plan, annual program plan and accountability report by the State Board for Vocational Education. Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Five-year State Plans, annual program plan and accountability report must be prepared with the active participation of representatives of 10 agencies, councils and individuals and in consultation with the State Advisory Council. State Plans are subject to a public hearing and must be available to the public. Applications are subject to State and areawide clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Submission of five-year State Plan, annual program plan and accountability report to the Assistant Secretary for Vocational and Adult Education.

**Award Procedure:** Assistant Secretary for Vocational and Adult Education approves five-year State Plan, annual program plan and accountability report. When funds become available the Assistant Secretary for the Office of Vocational and Adult Education (OVAE) transmits formal notification of grant award to the State board. Notification of award must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1.

**Range of Approval/Disapproval Time:** Approximately 30 to 120 days.

**Appeals:** A State board which is dissatisfied with the final action of the Assistant Secretary in disapproving a State Plan is afforded reasonable notice and opportunity for a hearing. If still dissatisfied, it may appeal to the appropriate United States Court of Appeals.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Funds are allotted on the basis of an amount which bears the same ratio to 50 percent, 20 percent, 15 percent of the sums being allotted, as the product of the population aged 15-19, 20-24, 25-65, each inclusive and corresponding to percent of sums, in the State in the preceding fiscal year, and the State's allotment ratio, bears to the sum of the corresponding products for all the states; plus an additional 15 percent based on the above formula. The allotment ratio for any State shall be 1.00 less the product of 0.50, and the quotient obtained by dividing the per capita income for the State by the per capita income for all the states (exclusive of Puerto Rico and the outlying areas), except that the allotment ratio in no case shall be more than 0.60 or less than 0.40, and the allotment ratio for the outlying areas shall be 0.60. No matching is required under this part.

**Length and Time Phasing of Assistance:** Fiscal year. Funds appropriated during any fiscal year which are not obligated or expended prior to the beginning of the next fiscal year, shall remain available for obligation and expenditure during such succeeding fiscal year. States draw funds as needed under Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Accountability Reports, VEDS reports, and OCR Annual Compliance Reports; continuous evaluation (each program once each five years) by State Board and annual evaluation by the State Advisory Council.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, 34 CFR 76.730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $14,954,000; FY 82 est $14,356,000; (Note: year of appropriation shown. States use funds the following year.) FY 83 est. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $4,524 to $1,318,644; $263,000. (FY 1981 figures).

**PROGRAM ACCOMPLISHMENTS:** 152,970 participants in this program during school year 1978-79.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations, Title 34 CFR, Part 400. "A Guide to the Development of Vocational Education Programs and Services for the Disadvantaged", no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for a list of the addresses of ED regional offices.

**Headquarters Office:** Division of State Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Contact: LeRoy A. Cornelsen. Telephone: (202) 472-3440.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.049, Vocational Education—Consumer and Homemaking Education; 84.053, Vocational Education—State Advisory Councils; 84.077, Bilingual Vocational Training.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.053 VOCATIONAL EDUCATION—STATE ADVISORY COUNCILS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, as amended by Title II of the Education Amendments of 1976, Public Law 94-482; 20 U.S.C. 2301-2461; 90 Stat. 2168-2213.

**OBJECTIVES:** To advise the State board for vocational education on the development and administration of State Plans; evaluate vocational education programs, services, and activities and publish and distribute the results; prepare and submit through the State board to the Assistant Secretary and the National Advisory Council an annual evaluation report.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Funds allocated to a State Advisory Council to carry out its responsibilities specified in the Act may be used in accordance with the Council's budget as approved by the Director, Division of State Vocational Programs. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State advisory council.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Certification to the Assistant Secretary for Vocational and Adult Education of the establishment of and the membership of a State Advisory Council. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** State Advisory Council must be established. Members to be appointed by the Governor or elected State board.

**Application Procedure:** Submission of budget to the Director, Division of State Vocational Programs.

**Award Procedure:** The Division Director approves council budget notifies State council by letter of approval. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Not less than 90 days prior to the beginning of any fiscal year.

**Range of Approval/Disapproval Time:** From 30 to 120 days.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each State Advisory Council is to be paid an amount not to exceed $200,000 nor less than $75,000 to carry out its functions. No matching is required. The statistical factors for fund allocation are: 1. percent population aged 15 to 19; 2. percent population aged 20 to 24; and 3. percent population aged 25 to 65. The source for 1,2 and 3 is the relative State separate factors latest estimate in the "Current Population Reports" by State, Bureau of Census. Age cohorts published by NCES. 4. three year average per capita income for each State and the source is the Bureau of Economic Analysis.

**Length and Time Phasing of Assistance:** 1 year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Financial Status Reports, Annual Evaluation Report.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, 34 CFR 76.730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $6,500,000; FY 82 est $4,980,000. (Note: year of appropriation shown. States use funds the following year.) FY 83 This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $91,135 to $200,000; $114,035. (FY 1981 figures)

**PROGRAM ACCOMPLISHMENTS:** All states had functioning Advisory Councils and submitted annual reports.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations, Title 34 CFR, Part 400.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog for a list of the addresses of ED regional offices.

**Headquarters Office:** Division of State Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Contact: LeRoy A. Cornelsen. Telephone: (202) 472-3440.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.049, Vocational Education—Consumer and Homemaking Education; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.077, Bilingual Vocational Training.

**EXAMPLES OF FUNDED PROJECTS:** Fifty-seven State Advisory Councils for Vocational Education were funded.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.055 HIGHER EDUCATION—COOPERATIVE EDUCATION

### (Cooperative Education Program)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Title VIII; as amended.

**OBJECTIVES:** To provide Federal support for cooperative education programs including the planning, establishment, expansion, or carrying out of such programs in institutions of higher education for the training of persons in the planning, establishment, administration, or coordination of programs of cooperative education, for projects demonstrating or exploring the feasibility or value of innovative methods of comprehensive institutional cooperative education, or for research into methods of improving, developing, or promoting the use of cooperative education programs in institutions of higher education. Cooperative Education programs are those with alternating or parallel periods of academic study with periods of public or private employment related to the student's academic program or professional goals.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The planning, establishment, expansion, or carrying out by the funded institutions of programs of cooperative education that alternate periods of academic study with periods of public or private employment. Salaries and administrative expenses are payable from these funds. No money appropriated under this program may be used for payment of compensation of students for employment by employers. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. Intended for administration projects authorized under Section 802 and grants or contracts for projects authorized under Section 803 for Training, Research and Demonstration.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Accredited institutions of higher education, including junior colleges, four-year colleges and universities, and other public or private nonprofit agencies and organizations for research, training and demonstration only.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** The applicant must submit a signed statement that it has complied with Federal civil rights legislation including Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, and Section 504 of the Rehabilitation Act of 1973, as awarded, and that it meets the definition of higher education given in Section 1201 of HEA of 1965, as amended.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Submit a completed application and proposal according to the established guidelines to the Application Control Center, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. For proper identification and distribution this attention line must be used-Attention: 84.055. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals and applications are evaluated by outside consultants, experts in fields of education, and the Assistance Management Procurement Services staff makes final awards. These offices are also responsible for notifying Members of Congress and the funded institutions of higher education of grant approval.

**Deadlines:** Announcement published annually in "Federal Register"; stated on application instruction booklet (usually mid - March). Program is forward-funded.

**Range of Approval/Disapproval Time:** Approximately 6 months.

**Appeals:** None.

**Renewals:** Same as for new request. (Resubmit proposal).

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The maximum grant an institution of higher education may receive in a single fiscal year for the administration of programs is $325,000 in any fiscal year. A Consortium may receive $250,000 times the number of institutions in the consortium. However, no such limitation applies to training or research programs. Eligibility for administration grants is limited to five years, which need not be consecutive. Federal support of administrative costs is limited to 100 percent in the first year, and then in subsequent years may not exceed 90 percent, 80 percent, 60 and 30 percent, respectively.

**Length and Time Phasing of Assistance:** Projects supported under Section 802 for Administration grants may be funded for a multi-year grant if no previous Federal Cooperative Education Program funds were received by the applicant, for a total of 60 months. Institutions which have received single-year Administration grants in previous years are only eligible to apply for single-year up to but not exceeding 12 months for a total of five years. Projects supported under Section 803 for training and demonstration may be funded for multi-year grants for a total of 36 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** It is required that annual fiscal and progress reports be submitted at the termination of the grant period and that other information be furnished if requested.

**Audits:** Subject to a Federal audit anytime during the term of the grant and within a period of 5 years after the termination of Federal support.

**Records:** Must be retained for 5 years after the end of the fiscal year during which the expenditures were made or until the grantee is notified that the records are no longer needed.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $23,000,000; FY 82 est $4,268,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $14,000 to $189,000; $61,905.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 229 institutions of higher education received grants totaling $23,000,000. Grantees are located in 49 States, the District of Columbia and Puerto Rico.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Instructions for Submitting a Proposal- Cooperative Education Programs, fiscal year 1982, no charge; Cooperative Education Programs, Cumulative Awards, no charge. Final regulations published in Federal Register March 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Training and Facilities, Institutional Support Programs, Office of Assistant Secretary Postsecondary Education, Department of Education, Washington, DC 20202. Contact: Morris Brown. Telephone: (202) 245-2146.

**RELATED PROGRAMS:** 84.031, Higher Education—Strengthening Developing Institutions; 84.033, College Work—Study Program; 84.050, Vocational Education—Program Improvement and Supportive Service.

**EXAMPLES OF FUNDED PROJECTS:** Programs in administration, training, research and demonstration projects in U.S. colleges and universities.

**CRITERIA FOR SELECTING PROPOSALS:** Excerpts from the Federal Register Tuesday, August 4, 1981. Funding criteria administration: The Secretary evaluates applications under this subpart in accordance with (see 34 CFR Parts 631, 632, 633, 634, 635 and 636) and the Education Department General Administrative Regulations (Edgar) in 34 CFR Parts 75 and 77.

## 84.060 INDIAN EDUCATION—ENTITLEMENT GRANTS TO LOCAL EDUCATIONAL AGENCIES AND TRIBAL SCHOOLS

### (Indian Education Act-Part A)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Public Law 92-318, Title IV, Part A, as amended, 20 U.S.C. 241aa - 241ff.

**OBJECTIVES:** To develop and carry out elementary and secondary school programs designed to meet the special educational and culturally related academic needs of Indian children, for example, to: 1) increase academic performance with special emphasis on basic skills, 2) reduce drop out rates and improve attendance, and 3) increase the relevance of academic offerings by the schools to the cultural heritage of Indian children.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grantees may use funds for the establishment, maintenance, and operation of projects specifically designed to meet the special educational or culturally related academic needs, or both, of Indian children. Projects must be designed in response to a locally conducted needs assessment and with the full cooperation and involvement of an elected committee representing parents of the Indian students to be served. Permissable activities include, but are not limited, to: (1) remedial instruction in the basic skills; (2) instruction in Indian history and tribal heritage; and (3) homeschool liaison services. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. Approximately 309,000 Indian students. The average awards will be $41,340 and $28,838 respectively.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Local educational agencies (LEAs) that enroll at least 10 Indian children or in which Indians constitute at least 50 percent of the total enrollment. These requirements do not apply to LEAs serving Indian children in Alaska, California, and Oklahoma or located on, or in proximity to, an Indian reservation. An Indian tribe that operates a school in accordance with standards established by the Bureau of Indian Affairs under Section 1121 of the Education Amendments of 1978 (25 U.S.C. 2001) or under contract with the Bureau of Indian Affairs according to Public Law 93-638 is deemed to be an LEA for the purposes of this program.

**Beneficiary Eligibility:**

**Credentials/Documentation:** The applicant must certify the number of Indian children enrolled on which the amount of the grant will be computed. It must also certify and provide evidence that it has carried out a number of other required activities, including: holding a public hearing, establishing an elected Indian parent committee, conducting an assessment of the educational needs of the Indian children enrolled in its schools and designing a project that is responsive to those needs, and making arrangements for an evaluation of the effectiveness of the project. No grant will be made, unless the application has the written approval of the applicant's Indian parent committee.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Preapplication not required.

**Application Procedure:** The LEA annually submits an application on ED Form 736 describing its proposed project to the Department of Education. Applications forms for Part A are available from the Department.

**Award Procedure:** Awards are issued annually directly to the LEA. Awards are made to all applicants that meet the applicable requirements of the Act and the regulations and that have designed a project that the Secretary of Education determines will substantially increase the educational opportunties of the Indian children served by the applicant.

**Deadlines:** Deadlines are established annually. The closing date is usually in December or January. A mailing list is maintained at the headquarters office; application packets are generally mailed as soon as they are available to applicants from the previous year; however, if a packet is not received the headquarters office should be contacted. The headquarters office should be contacted for specific deadlines.

**Range of Approval/Disapproval Time:** 150 days.

**Appeals:** None.

**Renewals:** Made only through reapplication on an annual basis. Applications may be for a 3-year period, with annual report.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Section 303(a) of the Indian Education Act specifies that the amount of a grant to which an LEA is entitled is computed by multiplying the number of Indian children enrolled in the LEA's schools by the average per pupil expenditure for all LEAs in the State in which the applicant is located. In setting the actual amount of a grant, an applicant's entitlement amount is reduced on the basis of available appropriations. No award is made to an LEA unless the appropriate State educational agency (SEA) finds that the combined fiscal effort of that LEA and the State with respect to the provision of free public education by that LEA for the preceding fiscal year was not less than the combined fiscal effort for that purpose for the second preceding fiscal year. This program has no Matching Requirements.

**Length and Time Phasing of Assistance:** Grants are awarded for twelve-month periods and funds must be spent or obligated within those twelve months. Payments for grants of under $50,000 are made in one lump sum. Payments for grants between $50,000 and $100,000 are made in the first and third quarters. Payments for grants that are more than $100,000 are made quarterly.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports are due once a year.

**Audits:** Federal regulations (34 CFR Part 74) require system-wide audits of grantees rather than audits of every grant awarded to the recipient. These audits must be condcted at least every two years and are to determine the effectiveness of the financial management systems and internal procedures established by the recipient to meet the terms of its grants and subgrants.

**Records:** Records must be maintained 5 years after the completion of the activity for which grant funds were used.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0101-0-1-501.

**Obligations:** (Grants) FY 81 $53,517,015; FY 82 est $46,218,000; and FY 83 est $32,241,000.

**Range and Average of Financial Assistance:** $3,000 to $1,238,678; $50,398.

**PROGRAM ACCOMPLISHMENTS:** In FY 1981, awards were made to 1,012 LEAs and 36 tribal schools, about 99 percent of those submitting applications. The projects that were funded served approximately 289,000 Indian students in elementary and secondary schools. The average award was $51,066 and the average student expenditure was $185. For FY 82 and FY 83, it is expected that awards will be made to 1,118 grantees serving support services. One thousand fifty two awards were made for those two years, with the average student expenditure $150 and $104.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Rules and Regulations of Part A of Indian Education Act, published in Federal Register, Vol. 45, No. 100, May 21, 1980 (Title 34 CFR, Parts 250 and 251).

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Indian Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-8020. Contact: Hakim Khan.

**RELATED PROGRAMS:** 84.061, Indian Education—Special Programs and Projects; 84.062, Indian Education—Adult Indian Education; 84.072, Indian Education—Grants to Indian Controlled Schools.

**EXAMPLES OF FUNDED PROJECTS:** Instruction in reading and mathematics; counseling and guidance; Native language and cultural heritage instruction; tutoring; home-school liaison services.

**CRITERIA FOR SELECTING PROPOSALS:** This is a formula grant program. Applicants do not compete but rather are entitled to funds if they meet basic eligibility requirements.

## 84.061 INDIAN EDUCATION—SPECIAL PROGRAMS AND PROJECTS

### (Indian Education—Part B)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Public Law 92-318, Title IV, Part B, as amended, 20 U.S.C. 3385.

**OBJECTIVES:** To plan, develop, and implement programs and projects for the improvement of educational opportunities for Indian children, and to prepare and improve the qualifications of persons serving Indian students in educational personnel positions.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used: 1) to support projects that are designed to plan for, and test and demonstrate the effectiveness of, programs for improving educational opportunities for Indian children; 2) to provide educational services for Indian children that are not otherwise available in sufficent quantity or quality; and (3) to support programs that train persons to enter educational careers serving Indian children and adults.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Eligible applicants include: State and local educational agencies, federally supported elementary and secondary schools for Indian children, Indian tribes, Indian organizations, Indian institutions, and institutions of higher education. Priority is given to Indian tribes, Indian organizations, and Indian institutions.

**Beneficiary Eligibility:** Indian children.

**Credentials/Documentation:** No project for the provision of educational services to Indian children will be funded unless the application documents that there has been adequate participation by the parents of the children to be served and tribal communities in the planning and development of the project and that there will be such a participation in the operation and evaluation of the project. (e) plans for staff development and training and (f) plans for evaluation of the project.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Applications for grants (ED Form 267) are submitted annually by eligible applicants in accordance with the rules and regulations governing Part B of the Indian Education Act. Forms are available from the Headquarters Office.

**Award Procedure:** Applications are reviewed by panels of field readers and agency personnel. Points are awarded according to criteria set forth in the regulations governing each program. Final selections are made by the Secretary of Education. Grants are awarded directly to the applicant/grantee.

**Deadlines:** Deadlines are established annually. The closing date is usually in December or January. A mailing list is maintained at the address given below; application packets are generally mailed as soon as they are available to applicants from the previous year; however, if packet is not received, the headquarters office should be contacted.

**Range of Approval/Disapproval Time:** 160 days.

**Appeals:** None.

**Renewals:** Made only through reapplication on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Projects may be approved for periods of up to 3 years with the exception of Educational Personnel Development projects which may be for up to 4 years. Grants are awarded on a twelve-month basis and it is expected that expenditures will be made within that period. Payments are made monthly on the basis of quarterly requests submitted by the grantees.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports are due annually.

**Audits:** Federal regulations (34 CFR Part 74) require system-wide audits of grantees rather than audits of every grant awarded to the recipient. These audits must be conducted at least every two years and are to determine the effectiveness of the financial management systems and internal procedures established by the recipient to meet the terms of its grants and subgrants.

**Records:** Record must be kept for 5 years after the completion of the activity for which grant funds were used. report.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0101-0-1-501.

**Obligations:** (Grants) FY 81 $12,500,000; FY 82 $10,120,000; and FY 83 est $6,500,000.

**Range and Average of Financial Assistance:** $60,000 to $452,000; $179,000.

**PROGRAM ACCOMPLISHMENTS:** In 1981, awards were made to 60 Indian tribes and organizations ad 10 universities, about 36 percent of those who applied. These grants reached approximately 7,000 children and 800 trainees. In FY 1982, it is anticipated that awards will be made to 45 tribes and Indian organizations and 8 universities, to serve 5,400 children and 700 trainees. In FY 1983, it is estimated that awards will be made to 31 tribes and Indian organizations ad 5 universities, reaching 3,600 children and 400 trainees. Most of the 1983 grants will be continuations from prior, multi-year commitments.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations are in Title 34 of the Code of Federal Regulations, Parts 250, 255, 256, and 257).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Indian Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-8020. Hakim Khan.

**RELATED PROGRAMS:** 84.060, Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools; 84.062, Indian Education—Adult Indian Education; 84.072, Indian Education—Grants to Indian Controlled Schools.

**EXAMPLES OF FUNDED PROJECTS:** Supplementary education services; planning, pilot, demonstration, and exemplary projects; curriculum development; alternative schools; early childhood programs; and educational personnel training.

**CRITERIA FOR SELECTING PROPOSALS:** Need, program design, sharpness of objectives, evaluation design, dissemination, quality of personnel, and organizational capacity. Priority is given to Indian tribes, Indian organizations and Indian institutions.

## 84.062 INDIAN EDUCATION—ADULT INDIAN EDUCATION

### (Indian Education-Part C)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Public Law 92-318, Title IV, Part C, as amended, 20 U.S.C. 1211a.

**OBJECTIVES:** To plan, develop, and implement programs for Indian adults to decrease the rate of illiteracy, increase the mastery of basic skills, increase the number who earn high school equivalency diplomas, and encourage the development of programs relevant to the culture and heritage of Indian Adults.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are used for the establishment and operation of programs designed to stimulate the provision of basic literacy and high school equivalency opportunities for Indian adults. Funds may be used to encourage dissemination of information and materials relating to, and evaluation of the effectiveness of, programs that improve educational opportunities for Indian adults.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local educational agencies, Indian tribes, Indian institutions, and Indian organizations.

**Beneficiary Eligibility:** Indian adults.

**Credentials/Documentation:** Applications must describe the activities for which assistance is sought; provide for an evaluation of the effectiveness of the proposed project; and provide assurance that the individuals to be served and tribal communities have been involved in the planning and development of the project and will continue such involvement in the operation and evaluation of the project.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Applications for grants (ED Form 737) are submitted annually by eligible applicants in accordance with the rules and regulations governing Part C of the Indian Education Act. Forms are available from the headquarters office.

**Award Procedure:** Applications are reviewed by panels of field readers and agency personnel. Points are awarded according to criteria set forth in the regulations. Final selections are made by the Secretary of Education. Grants are awarded directly to the applicant/grantee.

**Deadlines:** Deadlines are established annually. The closing date is usually in December or January. A mailing list is maintained at the address given below; application packets are generally mailed as soon as they are available, to applicants from the previous year. However, if a packet is not received, the headquarters office should be contacted.

**Range of Approval/Disapproval Time:** 160 days.

**Appeals:** None.

**Renewals:** Renewals are made only through reapplication on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Projects may be approved for periods of up to 3 years. Grants are awarded on a twelve-month basis and it is expected that expenditures will be made within that period. Payments are made monthly on the basis of quarterly requests submitted by the grantee.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports are due annually.

**Audits:** Federal regulations (34 CFR Part 74) require system-wide audits of grantees rather than audits of every grant awarded to the recipient. These audits must be conducted at least every two years and are to determine the effectiveness of the financial management systems and internal procedures established by the recipient to meet the terms of its grants and subgrants.

**Records:** Records must be kept for 5 years after the completion of the activity for which grant funds were used.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0101-0-1-501.

**Obligations:** FY 81 $5,429,999; FY 82 est $4,778,000; and FY 83 est $3,365,000.

**Range and Average of Financial Assistance:** $12,000 to $228,000; $108,600.

**PROGRAM ACCOMPLISHMENTS:** Awards were made to 50 out of 104 applicants during FY 1981 to enable 15,700 Indian adults to obtain high school diplomas, improve their communication skills and participate in career development programs. It is estimated that 43 awards will be made in FY 1982 and 23 in FY 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations are in Title 34 of the Code of Federal regulations, Parts 250, 258, 259, 260, 261 and 262.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Indian Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-8020. Contact: Hakim Khan.

**RELATED PROGRAMS:** 84.060, Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools; 84.061, Indian Education—Special Programs and Projects; 84.072, Indian Education—Grants to Indian Controlled Schools.

**EXAMPLES OF FUNDED PROJECTS:** Planning projects to develop new curriculum; and service projects that offer instruction in basic and secondary education.

**CRITERIA FOR SELECTING PROPOSALS:** Need for assistance; project design; budget and cost effectiveness: adequacy of resources; staff; community participation; evaluation design; commitment, lack of comparable services. Priorty is given to Indian tribes, Indian organizations, and Indian institutions.

## 84.063 PELL GRANT PROGRAM

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Amendments of 1972, Title IV, Part A, Section 411; Public Law 92-318; 20 U.S.C. 1070a; Middle Income Student Assistance Act, Public Law 95-566; Educational Amendments of 1980; Public Law 96-374; 20 U.S.C. 1001; Ominbus Education Reconciliation Act of 1981, Public Law 97-35; anticipated amendments.

**OBJECTIVES:** To provide access to postsecondary education for all students.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The student must have been accepted for enrollment in, or be making satisfactory academic progress at, an eligible institution of higher education, which includes colleges, universities, vocational-technical schools, and hospital schools of nursing. Also, he or she must be enrolled on at least a half-time basis in an undergraduate course of study. Graduate students are not eligible for assistance. Eligible institutions include public or private nonprofit institutions of higher learning. Students are eligible for any number of years of undergraduate study. Amounts of grants are determined by family contribution schedules, cost of education and level of appropriation but may not exceed an estimated $1,720 for the 11th year of operation (award period 1982-83).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Undergraduate students attending eligible institutions of higher education, and enrolling on at least a half-time basis.

**Beneficiary Eligibility:** Undergraduate students attending eligible institutions of higher education on at least a half-time basis who meet financial need criteria.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Student completes an "Application for Determination of Pell Grant Eligibility" (or other applicable form) using 1981 actual financial data and submits it to the agency specified on the form. This agency calculates the student's financial need and returns a notification to the student of his or her eligiblity for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:** The institution which the student attends will determine the amount of the Pell Grant, using a payment schedule based on the student's financial need, his cost of attendance and the available appropriation. These awards will be made through the institutions which will act as disbursing agents under terms of agreement with the Office of Postsecondary Education.

**Deadlines:** The application deadline for the 1982-83 award period is March 15, 1983.

**Range of Approval/Disapproval Time:** Approximately 4 to 6 weeks.

**Appeals:** None; however, a calculation of the student's financial need based on estimated 1982 financial data completing a "Special Condition Form" for one of the following reasons: (1) the independent applicant worked full-time in 1981 and is no longer employed full-time; (2) the student's parent or spouse has experienced loss of employment for at least 10 consecutive weeks in 1982; (3) the student's parent or spouse has been unable to pursue normal income providing activities for at least 10 weeks in 1982 due to disability or natural disaster; (4) the applicant, spouse or student's parents who received unemployment compensation or other non-taxable benefits in 1981 has experienced a loss of such benefits for at least 10 weeks in 1982; (5) a parent or spouse has died since the student filed a standard Pell Grant application; or (6) the student or his or her parents have gotten divorced or separated since the student filed a standard Pell Grant application.

**Renewals:** None; applicants reapply annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The statistical factors used for fund allocation do not apply to this program. The statistical factor used to determine eligibility is the Consumer Price Index for Urban Wage Earners and Clerical Workers, which is used to update family size offsets which is a schedule of offsets against income used in determining eligibility and the source is the Bureau of Labor Statistics. Pell Grants cannot exceed one-half cost of attendance.

**Length and Time Phasing of Assistance:** Students are limited to one Pell Grant during any award period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Institutions will be required to furnish reports on disbursement of funds on a periodic basis.

**Audits:** Periodic audits will be made.

**Records:** All records pertaining to the eligibility of each Pell Grant recipient and all fiscal management records must be maintained by the institutions for a period of 5 years or until an acceptable audit has been completed.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0200-0-1-502.

**Obligations:** (Grants) FY 81 $2,346,000,000; FY 82 est $2,374,000,000; and FY 83 est $1,400,000,000.

**Range and Average of Financial Assistance:** Grants are estimated to range from $120 to $1,720 in the 1982-83 school year.

**PROGRAM ACCOMPLISHMENTS:** During the 1979-80 award period, approximately 2,550,000 students enrolled in almost 7,000 postsecondary schools received Pell Grants. An estimated 2,800,000 students received Pell Grants during the 1980-81 award period, and an estimated 2,770,000 students received Pell Grants during the 1981-82 award period.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "Student Consumer's Guide to Five Federal Financial Aid Programs" --no charge, and Application Form, no charge; "Determination of Pell Grant Eligibility Index"--no charge; "Eligible Institutions Under Pell Grant Program"--no charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Regional Administrator of Student Financial Assistance, the Director of Student Financial Aid at the institution the student wishes to attend, or high school guidance counselors.

**Headquarters Office:** Division of Policy and Program Development, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. (202) 472-4300. Contact: Joseph Vignone. Toll-free Federal Student Information Center for Financial Aid: (800) 638-6700, in Maryland call (800) 492-6602.

**RELATED PROGRAMS:** 64.111, Veterans Educational Assistance; 64.117, Dependents Educational Assistance; 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.037, National Defense/Direct Student Loan Cancellations; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.047, Upward Bound; 84.066, Educational Opportunity Centers; 84.069, Grants to States for State Student Incentives.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** See REGULATIONS, GUIDELINES, AND LITERATURE (student eligibility requirements).

## 84.064 HIGHER EDUCATION—VETERANS' COST OF INSTRUCTION PROGRAM

## (VCIP)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965 as amended by Public Law 96-374, Title IV, Section 420.

**OBJECTIVES:** To encourage colleges and universities to serve the special needs of veterans especially the Vietnam-era and disadvantaged veterans.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** The institution uses funds to establish a full-time office of veterans' affairs with adequate programs of outreach, recruitment, counseling, tutoring, and special education. Upon establishment of such an office, in accordance with criteria prescribed by regulations, the remainder of the funds, not to exceed 10 percent, may be used solely to defray instructional expenses in academically related programs of the institution.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Nationally or regionally accredited institutions of higher education. Proprietary institutions (i.e. organized for profit) and schools or departments of divinity are not eligible.

**Beneficiary Eligibility:** Veterans enrolled at least half-time in eligible institutions of higher education, who are recipients of benefits under Chapters 31 and 34 of Title 38, U.S.C.

**Credentials/Documentation:** Applicants must demonstrate and document either a 10 percent increase in undergraduate veteran enrollment in the year of application over the preceding academic year, or that their veteran enrollment constitutes at least 10 percent of total enrollment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications, instructions, and assistance are provided by Veterans' Program Branch, Institutional Support Programs, Office of Postsecondary Education, Department of Education, Washington, DC 20202.

**Application Procedure:** Apply to Unit above using Form 424. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Payments are based on undergraduate veteran enrollment according to formula and are made directly to eligible institutions.

**Deadlines:** Applications are normally accepted in May.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Not applicable.

**Renewals:** Upon reapplication if undergraduate veteran enrollment equals or exceeds count in year of initial application or if institution meets program requirements for maintenance of service.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Prorated share of eligible veterans under usual G.I. Bill at $300. Prorated share of eligible veterans under special programs for educationally disadvantaged at $150. No matching requirements. The statistical factors used for fund allocation are: 1. the number of veterans at applicants' institutions and the source is unpublished data from the State higher education institutions; and 2. full and part-time undergraduate veterans under the GI Bill and the source is unpublished data from State higher education institutions certified by VA. Statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Institutions draw upon a DFAFS grant management fund in one payment.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual fiscal and operational reports annually.

**Audits:** Institutional audits, usually annually, but not less frequently than once every 2 years, shall be made available to the Secretary of Education.

**Records:** Recipient is required to maintain standard educational and financial records.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $6,019,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $879 to $118,000; $15,000.

**PROGRAM ACCOMPLISHMENTS:** Since its inception, over 1,100 colleges and universities have annually received VCIP awards based on an aggregate of over 3 million veterans and have provided services to many times that number.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Final regulations were published in the Federal Register on August 4, 1981 (Part V, 34 CFR, Part 629).

**INFORMATION CONTACTS:**

**Regional or Local Office:** For general information, a prospective applicant may consult the Regional Secretary for Education Programs, ED Regional Offices (see Appendix IV of the Catalog for listing). Specific information should be directed to the Veterans' Program Branch, Institutional Support Programs, Department of Education.

**Headquarters Office:** Division of Facilities and General Support Programs, Institutional Support Programs, Office of Assistant Secretary of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-2806 (Use same 7-digit number for FTS). Contact: Dr. Stanley B. Patterson.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** All institutions funded by the Veterans' Cost-of-Instruction Payments Program provides the same services, i.e. outreach, recruitment, counseling, and special education. As a formula grant, the size of the award varies according to the number of eligible veteran students attending the institution. Minimally funded institutions, those with less than 75 students are only required to provide recruitment and counseling for Veterans' Cost of Instruction Payments Program funds. Consortia arrangements may occur.

**CRITERIA FOR SELECTING PROPOSALS:** Any institution that can fulfill the eligibility requirements is qualified to receive funds under this program. See Beneficiary Eligibility above.

## 84.065 EDUCATIONAL TELEVISION AND RADIO PROGRAMMING

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Omnibus Budget Reconciliation Act of 1981, Section 583; Public Law 97-35.

**OBJECTIVES:** To carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and/or radio programs designed for broadcast and/or nonbroadcast uses to help children, youth, or adults to learn.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Only contract awards will be made with the following requirements and criteria detailed in specific Requests for Proposals: (1) need for the programming; (2) educational impact; (3) applicability of subject matter to television or radio; (4) successful models on designs; (5) cost per viewer; and (6) project scope.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, public and private agencies, profit and nonprofit organizations, associations, institutions, and individuals.

**Beneficiary Eligibility:** Children, youth, and adults in formal and informal settings.

**Credentials/Documentation:** Submission of application for Educational Television and Radio; Elementary and Secondary Education Act, Title III, and compliance with funding requirements and criteria stated in Regulations, 45 CFR 160, Appendix II.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None. Proposals are received in response to Requests for Proposals (RFP). Proposers shall follow the detailed instructions received in the RFP. Proposal packages may be obtained by writing to the address in the "Commerce Business Daily" announcement of the RFP. This program is subject to the provisions of OMB Circular No. A-102.

**Application Procedure:** Proposals must be sent to Department of Education, Application Control Center, Washington, DC 20202. Unsolicited proposals for contract awards will not be accepted.

**Award Procedure:** Proposals are reviewed and evaluated on the basis of criteria formula developed from the statement of work in the RFP. Contracts are awarded to successful bidders who rank highest in the evaluation.

**Deadlines:** No specific deadlines have been established. Requests for proposals are expected to be announced in the Commerce Business Daily before March. The deadlines for submitting proposals are 60 - 90 days after the announcement.

**Range of Approval/Disapproval Time:** Proposals submitted in response to an RFP are eligible for funding during the current year of the appropriation only.

**Appeals:** Appeal procedure provided for per FDR 1-7, 102-12, Disputes.

**Renewals:** Requires, if given, appropriate justification and prior approval.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** One goal for any program supported under this activity must be the ability to sustain the programming effort beyond the long term plans and efforts to develop financial independence as outlined in the proposal. Self-support mechanism should be addressed by the proposal and consideration given to all alternatives, immediate and long run.

**Length and Time Phasing of Assistance:** Assistance is normally provided on a 3 year cycle, (i.e., pilot, full production and broadcast). Payments are normally made on a monthly or quarterly basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Contractors are required to file progress reports and final documentation of the completed project per scope of work.

**Audits:** In accordance with OMB Circular No. A-102 (Attachment C) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a (Subpart R).

**Records:** In accordance with OMB Circular No. A-102 (Attachment C) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a (Subpart R).

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Contracts) FY 81 $5,760,000; In FY 82, this program & 84.067 will be jointly funded under the Secretary's Discretionary Fund. A total of $5,760,000 will support both programs' activities. FY 83 est $7,000,000 for technology programs under Discretionary Fund.

**Range and Average of Financial Assistance:** Average: Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, support for "3-2-1 Contact," a science and environment television series was continued; two efforts on teenagers and parents (television and radio), were continued; and a new initiative to develop and produce a science and mathematics interactive television series with videodiscs and microcomputers was begun.

**REGULATIONS, GUIDELINES, AND LITERATURE:** None.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Educational Technology, Office of Libraries and Learning Technologies, Office of Assistant Secretary for Educational Research and Improvement, Department of Education, 400 Maryland Avenue, S.W., ROB-3/3116, Washington, DC 20202. Telephone: (202) 245-9228. Contact: Frank Withrow.

**RELATED PROGRAMS:** 84.067, Use of Technology in Basic Skills Instruction.

**EXAMPLES OF FUNDED PROJECTS:** One project produced 130 one hour SESAME STREET shows and provided community outreach services through its six regional offices. The Electric Company is no longer in production, but it continues on the air and is the most widely used instructional program in the classroom; the Education Department has an interagency agreement with the National Science Foundation which has contracted for a series for children ages 8 to 12 on science and the environment: 3-2-1 CONTACT! ED expanded the thirty-minute "Footsteps" series on parenting to add a radio and television series on teenagers and parents. The first twenty shows are aimed at helping parents of young children (and parents-to-be) learn to be more effective as first teachers of their children. The next ten "Footsteps" shows help parents bridge the gap between home and school. New parenting education programs deal with the adolescent years. "The television series is called "Moving Right Along" and the radio series is called "Almost Even." The "POWERHOUSE" television series on health and nutrition for 8-12 year olds will be broadcast in 1982. This is a sixteen part action/adventure series designed to supplement health and nutrition education for 8-12 year olds. There are 16 thirty minute programs and supplemental student and teacher guides. Utilization of DET's Educational Television programming continues for years after initial broadcast. Rental and purchase of 16 mm. films and 3/4 inch videocassettes greatly extend the life of a series. Teacher guides and student booklets and home viewer guides support utilization in a variety of educational settings.

**CRITERIA FOR SELECTING PROPOSALS:** Only contract awards will be made with the following general requirements and criteria: (1) national need for the programming; (2) educational impact; (3) applicability of subject matter to television or radio; (4) successful models or designs; (5) cost per viewer; and (6) project scope. Specific Requests for Proposals list additional criteria.

## 84.066 EDUCATIONAL OPPORTUNITY CENTERS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Section 417A and 417E, Title IV of the Higher Education Act of 1965 Public Law 89-329, as amended by Section 405, Public Law 96-374, 94 Stat. 1407 and 1410; 20 U.S.C. 1070d, 1070d-1c.

**OBJECTIVES:** To provide low-income adults who are first-generation, or potential first-generation, or potential first-generation, college students, information on financial and academic assistance available for individuals desiring to pursue a program of postsecondary education; and to assist them in applying for admission to institutions of postsecondary education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are awarded to institutions or agencies for establishment and operation of centers to collect and disseminate information concerning financial and other assistance available for participants seeking to pursue postsecondary education, and to assist participants in preparing admissions and financial aid applications. Centers may also provide tutoring and counseling for project participants. A grantee may not use the center as a part of its recruitment program. Funds may not be used for construction or remodeling of buildings or purchase of real property. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, public and private agencies and organizations (including professional and scholarly organizations) and, in exceptional cases, secondary schools.

**Beneficiary Eligibility:** Low-income adults who are first-generation, or potential first-generation, college students and who desire to pursue or who are pursuing a program of postsecondary education. (Required low-income criteria for participants are stated in application material.) Two-thirds of the participants must be low-income adults who are also first-generation, or potential first-generation, college students. Project participants must be at least nineteen years old (exceptions allowed).

**Credentials/Documentation:** Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Develop a proposal in accordance with regulations, application, and timetable issued by the Secretary of Education. No State Plan is required. Requests for program applications should be made to the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:** Federal staff and selected field readers evaluate new proposals based on the selection criteria established in program regulations 34 CFR 644.31 and 34 CFR 644.32. Grantees will be selected on the basis of satisfactory proposals and availability of funds. Successful grantees will be notified by the Department of Education. Grants are awarded through the Assistance Management and Procurement Services.

**Deadlines:** The notice for new projects appeared in the Federal Register on January 14, 1982. The deadline date for new projects was March 12, 1982.

**Range of Approval/Disapproval Time:** 90 to 180 days.

**Appeals:** None.

**Renewals:** None. In fiscal year 1982 only new projects will be funded.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** At least a 25 percent non-Federal share required, may be cash or in-kind match.

**Length and Time Phasing of Assistance:** Three-year continuation awards beginning by September 1982.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports on an annual basis.

**Audits:** In accordance with the Education Department General Administrative Regulations (EDGAR), 75.702 and 74.61.

**Records:** In accordance with EDGAR. 75.730.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $7,998,504; FY 82 est $7,040,000; FY 83 est No funds were requested.

**Range and Average of Financial Assistance:** Range $91,200 to $460,000; $249,953 average.

**PROGRAM ACCOMPLISHMENTS:** It is estimated that 117,100 participants will be assisted in fiscal year 1981. It is estimated that 90,000 participants will be assisted in fiscal year 1982. In fiscal year 1981, 32 noncompeting continuation applications were received; and 32 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:** EDGAR and Regulations 34 CFR 644. An application can be obtained from the Division of Student Services, Office of Postsecondary Education, 400 Maryland Ave., S.W., Washington, DC 20202. No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Office of Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Telephone: (202) 426-8960. Contact: Richard T. Sonnergren.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study; 84.038, National Defense/Direct Student Loans; 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.047, Upward Bound; 84.063, Pell Grant Program; 84.103, Training for Special Programs Staff and Leadership Personnel.

**EXAMPLES OF FUNDED PROJECTS:** Projects to universities, and agencies to collect and disseminate information on financial and other assistance available to low-income, "first-generation" adults seekings to pursue postsecondary education and to assist participants in preparing admissions and financial aid applications. Some centers also provide tutoring and counseling for project participants. Centers are funcde in metropolitan areas, urban/rural areas, and rural areas.

**CRITERIA FOR SELECTING PROPOSALS:** Selection criteria. (a) Continuation awards. Continuation awards are made on the basis of 34 CFR 75.253. (b) New awards. The Secretary will select applicants to be funded under this part on the basis of the criteria set forth in 34 CFR 644.31 (A). The Secretary uses the criteria in this paragraph to evaluate applicatons for new grants. The maximum score for all of the criteria is 100 points. (a) Plan of operation. (10 points) (i) The Secretary reviews each application for information that shows the quality of the plan of operation for the project. (b) Quality of key personnel. (10 points) (i) The Secretary reviews each application for information that shows the qualifications of key personnel the applicant plans to use on the project. (c) Budget and cost effectiveness. (5 points) (i) the Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective. (d) Evaluation plan. (10 points) (i) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project. (e) Adequacy of resources. (5 points) (i) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project. (f) Need for the center. (25 points). To determine the need for an EOC project in the target area, the Secretary looks for information that shows (i) The number and percentage of eligible individuals residing in the area; (ii) The extent to which the target area lacks EOC services and activities; (iii) The estimated number of veterans in the target area who need EOC services; and (iv) Other data that show the need of the adults in the target area for EOC services. (g) Likelihood of success. (20 points). The Secretary looks for information that shows (i) The comprehensiveness of the applicant's plan for carrying out the activities under 644.10; and (ii) The extent to which these activities will result in increased enrollment and retention in and graduation of project participants from postsecondary institutions. (h) Community participation and coordination. (15 points). The Secretary looks for information that shows (i) the extent to which representatives from the community, secondary schools and postsecondary schools have participated in the formulation of the proposal (ii) The extent to which the applicant has received and has included in the application written commitments by community organizations and others appropriate groups for the use community and other resources to supplement authorized activities; (iii) The extent of the center's relationship to Talent Search, Upward Bound, and Special Services for Disadvantaged Students projects in the area and to any other similar programs and services, in terms of (A) Coordinating services to individuals who participate in more than one of these programs; (B) Providing services not otherwise available from Talent Search, Upward Bound, and Special Services projects and other similar programs; and (C) Avoiding duplication of services and; (iv) The degree to which the center will draw upon and coordinate the resources and efforts of institutions of higher education and postsecondary education in admitting low-income, disadvantaged persons. (B) Past performance. For applicants that have conducted an Educational Opportunity Center project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of 34 CFR 644.32. (C) Final selection. In the final selection of similarly rated applications, the Secretary considers the relative need for a project in the area the applicant proposes to serve as compared to the need in areas other applicants propose to serve.

## 84.067 USE OF TECHNOLOGY IN BASIC SKILLS INSTRUCTION

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Omnibus Budget Reconciliation Act of 1981, Section 583; Public Law 97-35.

**OBJECTIVES:** To support development and demonstration activities related to the improved use of television and other technology to contribute to the instruction of children in reading, mathematics, and written and oral communication. To expand the variety and improve the quality of instructional efforts involving the use of technology.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Funds may be used for; 1) development and acquisition of educational programming and supplemental instructional materials using technology for basic skills instruction; to assist teachers in relating such programming to instruction; to improve its effectiveness in the school, the home, and other learning environments; 2) to train teachers and other educational personnel in using educational technology; to assist in experimentation with new technological approaches to instruction; 3) to provide for distributing information and promoting the use of such programming and techonology in the classroom and other learning environments.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, public and private agencies, profit and nonprofit organizations, associations and institutions.

**Beneficiary Eligibility:** School children.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None. Proposals are received in response to Request for Proposals (RFP). Proposers shall follow the detailed instructions received in the RFP. Proposal packages may be obtained by writing to the address in the "Commerce Business Daily" announcement of the RFP. This program is subject to the provisions of OMB Circular No. A-102.

**Application Procedure:** Proposals must be sent to Department of Education, Application Control Center, Washington, DC 20202. Unsolicited proposals for contract awards will not be accepted. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are reviewed and evaluated on the basis of criteria in the RFP. Contracts are awarded to successful bidders who rank highest in the evaluation.

**Deadlines:** No specific deadlines have been established. Requests for proposals are expected to be announced in the Commerce Business Daily in March.

**Range of Approval/Disapproval Time:** Approximately 60 days.

**Appeals:** Appeal procedure provided for per FDR 1-7, 102-12, Disputes.

**Renewals:** Specified in the Request for Proposals.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** One goal for any program supported under this activity must be the ability to sustain the programming effort beyond the long term plans and efforts to develop financial independence as outlined in the proposal. Self-support mechanism should be addressed by the proposal and consideration given to all alternatives, immediate and long run.

**Length and Time Phasing of Assistance:** Assistance is normally provided for 1 or more years based upon RFP scope of work. Payments are normally made on a monthly or quarterly basis.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Contractors are required to file progress reports and final documentation of the completed project per scope of work.

**Audits:** In accordance with OMB Circular No. A-102 (Attachment C) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a (Subpart R).

**Records:** In accordance with OMB Circular No. A-102 (Attachment C) and ED General Provisions for Direct Project Grant and Contract Programs, Part 100a (Subpart R).

FINANCIAL INFORMATION:

**Account Identification:** 91-0502-0-1-501.

**Obligations:** (Contacts) FY 81 $1,900,000; In FY 82, this program and 84.065 will be jointly funded under the Secretary's Discretionary Fund. A total of $5,760,000 (est) will support both programs' activities. FY 83 est $7,000,000 for technology programs under the Discretionary Fund.

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: Fiscal year 1980 was the first year of operation. One contract was awarded to develop planning guides for school systems in the utilization of technology for teaching basic skills, another contract was awarded to develop a teacher staff development package to train educational personnel in the uses of technology in teaching basic skills. A three year demonstration program in the teaching of reading was awarded to demonstrate the use of microcomputer in basic skills; and a demonstration project in the uses of videodisc and basic skills controlled by microcomputer was implemented. In FY 81, support for the teaching of mathematics and written communications will be continued and an Invitation for Bid (IFB) for microcomputer courseware development by State Education agencies will be issued.

REGULATIONS, GUIDELINES, AND LITERATURE: Federal procurement regulations.

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Educational Technology, Office of Libraries and Learning Technologies, Office of Assistant Secretary for Educational Research and Improvement, Washington, DC 20202. Telephone: (202) 245-9228. Contact: Frank Withrow.

RELATED PROGRAMS: 84.065, Educational Television and Radio Programming.

EXAMPLES OF FUNDED PROJECTS: A three year demonstration program in the teaching of written communications was awarded to demonstrate the use of the microcomputer in basic skills. A national dissemination project to provide State Education Agencies resources and technical assistance in the adoption of modern information technology in the teaching of basic skills. A project to coordinate and evaluate the uses of videodiscs and microcomputer equipment for teaching basic skills. The project will also maintain a microcomputer electronic mailbox for the exchange of information and programs among the participating schools.

CRITERIA FOR SELECTING PROPOSALS: To be specified in the IFB.

## 84.069 GRANTS TO STATES FOR STATE STUDENT INCENTIVES

### (State Student Incentive Grants; SSIG)

FEDERAL AGENCY: OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

AUTHORIZATION: Higher Education Act of 1965, Title IV, Part A, Subpart 3 as amended by the Education Amendments of 1972, Public Law 92-318, the Education Amendments of 1976, Public Law 94-482, the Higher Education Technical Amendments, Public Law 95-43, the Middle Income Student Assistance Act, Public Law 95-566, a 1979 Technical Amendment, Public Law 96-96 and the Education Amendments of 1980, Public Law 96-374; 20 U.S.C. 1070c; 34 CFR 692.

OBJECTIVES: To make incentive grants to the states to develop and expand assistance to eligible students in attendance at institutions of postsecondary education.

TYPES OF ASSISTANCE: Formula Grants.

USES AND USE RESTRICTIONS: To make matching grants of up to $2,000 for full-time (reduced for less than full-time) attendance to students with substantial financial need who are enrolled at postsecondary institutions.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** The agency responsible for administering each State's need-based scholarship/grant program. The agency must be part of the State's agreement under Section 1203, HEA.

**Beneficiary Eligibility:** Students with substantial financial need.

**Credentials/Documentation:** A State application reviewed and approved annually by the Secretary of Education provides student award funds only. States pay all administrative costs.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Technical assistance for states regarding the State application (ED Form 1288), as furnished to the agency by ED.

**Application Procedure:** The designated State Student Scholarship or Grant Assistance Agency in each State annually applies for State allotments/reallotments of funds.

**Award Procedure:** Grants are awarded to State Student Scholarship or Grant Assistance Agencies for making grants to students.

**Deadlines:** Application forms are mailed annually to eligible State agencies at least a month before the closing date.

**Range of Approval/Disapproval Time:** 30 to 45 days.

**Appeals:** Appeals of final disapprovals can be made to the Secretary and may be subject to judicial review.

**Renewals:** New State applications required annually.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Each State receives an allotment and possibly a reallotment of funds based upon higher education attendance figures; the number of students in attendance in each State is compared to the total attendance in all the states but no State receives less than its FY 1979 allotment (Section 415B(a) (1) (A), HEA). Maintenance of effort requirements provide that annual State grant expenditures must not be less than the average for the previous three fiscal years (Section 415C(b) (7), HEA). States match Federal funds on a 1:1 basis, out of nonfederal resources which represent additional State grant expenditures over an established base year, defined as the second year before the State entered the SSIG Program (Section 415(C(b), HEA). The statistical factor for fund allocation is the total enrollment by State in institutions of higher education (including post secondary schools). The enrollment data base is supplied by NCES, from the "Fall Enrollment in Higher Education Annual Report," supplemented by enrollment data for proprietary schools from the BEOG/Pell Grant Status Report. The statistical factors used for eligibility do not apply to this program.

**Length and Time Phasing of Assistance:** Funds may be paid to states over a 2-year period, once obligated by June 30 of the fiscal year for which appropriated.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual fiscal-performance reports (ED Form 1288-1) and other reports as required by the Secretary.

**Audits:** Records are examined by State or Federal auditors.

**Records:** States must maintain records sufficient to identify student grants in compliance with the law in the expenditure of Federal funds. Records must be retained for 5 years or until completion of ED audit.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0200-0-1-502.

**Obligations:** (Grants) FY 81 $76,750,000; FY 82 est $67,540,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $1,700 to $12,000,000; $800,000 was average (median) in FY 80 and FY 81.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, State Student Scholarship or Grant Assistance Agencies in 50 States, the District of Columbia, Puerto Rico, and the Pacific and Virgin Islands received allotments and reallotments. Assuming $500 as the average size of each student grant, and with the $76,750,000 Federal appropriation matched by $76,750,000 of State funds, approximately 307,000 students received grants to attend public, private and proprietary schools during the 1980-81 academic year and a similar number of students will receive grants in 1981-82.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR 692 (Program Regulations) reissued July 14, 1981. Fact Sheet, Program Description, and Directory of State Agency Official Contacts (current).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Program Description and List of State Student Scholarship or Assistance Agencies available in ED Regional Offices. Program is administered from Headquarters ED.

**Headquarters Office:** Division of Policy and Program Development, Student Financial Assistance Programs, Office of Assistant Secretary for Postsecondary Eduction, Department of Education, Washington, DC 20202. Telephone: (202) 472-4265. Contact: Lanora G. Smith.

**RELATED PROGRAMS:** 84.007, Supplemental Educational Opportunity Grants; 84.032, Higher Education Act Insured Loans; 84.033, College Work—Study Program; 84.038, National Defense/Direct Student Loans; 84.063, Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.072 INDIAN EDUCATION—GRANTS TO INDIAN CONTROLLED SCHOOLS

### (Indian Education—Part A Set-Aside, Non-LEAs)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Public Law 92-318, Title IV, Part A, as amended, 20 U.S.C. 241bb(b).

**OBJECTIVES:** To provide financial assistance to Indian-controlled schools to develop and implement elementary and secondary school programs designed to meet the special educational needs of Indian children. The schools must be located on or near a reservation and must be governed by an Indian tribe or tribally sanctioned organizations.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants may be used for plan for and establish Indian-controlled schools by, for example, establishing and operating an LEA or assuming control over a school previously operated by the Federal or state government. Grants may also be used to develop and support special enrichment projects for students attending Indian-controlled schools.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An Indian tribe or Indian organization, or an LEA that will have been an LEA for not more than three years at the beginning of the proposed project period, is eligible if it operates a school for Indian children that is located on or near a reservation.

**Beneficiary Eligibility:**

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Applications for grants (ED Form 444) are submitted annually by eligible applicant in accordance with the rules and regulations governing the Indian-Controlled Schools programs. Forms are available from the headquarters office.

**Award Procedure:** Application are reviewed by panels of field readers and agency personnel. Points are awarded according to criteria set forth in the regulations governing each program. Final selections are made by the Secretary of Education. Grants are awarded directly to the applicant/grantee.

**Deadlines:** Deadlines are established annually. The closing date is usually in December or January. A mailing list is maintained at the headquarters office; application packets are generally mailed as soon as they are available to the applicants from the previous year; however, if a packet is not received the headquarters office should be contacted.

**Range of Approval/Disapproval Time:** 160 days.

**Appeals:** None.

**Renewals:** Renewals are made only through reapplication on an annual basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Projects may be approved for periods of up to 3 years. Grants are awarded on a twelve-month basis basis and it is expected that expenditures will be made within that period. Payments are made monthly on the basis of quarterly requests submitted by the grantees.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports are due annually.

**Audits:** Federal regulations (34 CFR Part 74) require system-wide audits of grantees rather than audits of every grant awarded to the recipient. These audits must be conducted at least every two years and are to determine the effectiveness of the financial management systems and internal procedures established by the recipient to meet the terms of its grants and subgrants.

**Records:** Records must be maintained 5 years after the completion of the activity for which grant funds were used.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0101-0-1-501.

**Obligations:** (Grants) FY 81 $4,729,305; FY 82 $4,162,000; FY 83 est $3,224,000.

**Range and Average of Financial Assistance:** $22,000 to $205,000; $157,644.

**PROGRAM ACCOMPLISHMENTS:** In FY 1981 awards were made to 30 out of 45 applicants. It is estimated that 26 awards will be made in FY 1982 and 20 in FY 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations are in Title 34 of the Code of Federal Regulations, Parts, 250, 252, and 253.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Indian Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-8020. Hakim Khan.

**RELATED PROGRAMS:** 84.060, Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools; 84.061, Indian Education—Special Programs and Projects; 84.062, Indian Education—Adult Indian Education.

**EXAMPLES OF FUNDED PROJECTS:** Tutoring in remedial reading and mathematics; counseling and guidance; Native language and cultural heritage instruction; planning grants.

**CRITERIA FOR SELECTING PROPOSALS:** Need, rationale, project design, parent and community involvement, likelihood of success, budget and cost effectiveness, adequacy of resources, staff, evaluation plan, and commitment.

## 84.073 NATIONAL DIFFUSION NETWORK
## (NDN; National Diffusion Network)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Section 583, Omnibus Budget Reconciliation Act of 1981, Public Law 97-35.

**OBJECTIVES:** To promote and accelerate the systematic, rapid dissemination, and adoption by public and nonpublic educational institutions nationwide of educational practices, products, and programs which were developed through Federal, State and local government funds and whose effectiveness has been substantiated by the Joint Dissemination Review Panel of the Department of Education.

**TYPES OF ASSISTANCE:** Project Grants; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:** Eligible organizations and agencies are funded as components of the National Diffusion Network to assist educators in adopting a Joint Dissemination Review Panel-JDRP approved exemplary project. In addition, contracts are awarded for technical support units and for program studies and evaluations. The National Diffusion Network includes two kinds of projects, both eligible to apply for a grant: (1) Developer Demonstrator (DD) Grants are awarded to JDRP approved programs for purposes of disseminating information about these programs on a nationwide basis; developing, refining and reproducing materials about JDRP approved programs and providing training and technical assistance. (2) Facilitator grants are awarded for purposes of informing (a) State Education Agencies (SEAS); (b) Local Educational Agencies (LEAS); (c) private schools; and (d) institutions of higher education about exemplary programs in the National Diffusion Network, assisting in determining the appropriateness of NDN programs for schools and colleges; arranging for DDs to train staff members in these schools and colleges; arranging for site visits to the developer site; and coordinating the provision of services offered for Developer Demonstrators. The Technical Assistance Brokerage provides services to the NDN including training, production and distribution of materials, technical support and expert assistance through contracts.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The Secretary, Department of Education, is authorized to enter into Grants and Contracts with the following Grants: Public and nonprofit private agencies, organizations, or institutions. Applicants for Facilitator grants must be located in the State or intrastate region to be served. Contracts: Both profit and nonprofit public or private agencies, organizations, groups, or individuals.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Eligible parties submitting an application to be considered for a grant through the Department of Education's National Diffusion Network must meet the requirements in the application for grants, in the National Diffusion Network Program Final Regulations (34 CFR 796) as published in the Federal Register dated April 21, 1980, Vol. 45, No. 78, pages 26,914 thru 26,922. TECHNICAL ASSISTANCE CONTRACTS: Eligible parties submitting a proposal considered for a contract under the Department of Education's National Diffusion Network must meet the requirements in the Requests for Proposal (RFP) and the Program Regulations (CFR 34 Part 796) as published in the Federal Register dated April 21, 1980, Volume 45, Number 78, pages 26,914 thru 26,922.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** No preapplication form is required. Consultation and assistance is available from (NDN) Headquarters Office.

**Application Procedure:** An announcement of the Grant Application for the NDN is published in the "Federal Register" and Requests for Proposals (RFPs) are published in the Commerce Business Daily. Applicants should send their proposals to the Department of Education, Office of Procurement and Assistance Management, Application Control Center, 400 Maryland Avenue, S.W., ROB No. 3, Room 5673, Washington, DC 20202.

**Award Procedure:** All proposals are reviewed by a panel of government experts, or a panel of government experts and non-government expert consultants who make recommendations to the Department of Education, Office of Education Professional Development and Dissemination, National Diffusion Network Division and Assistance Management and Procurement Services for approval. Grants and contracts are awarded by Assistance Management and Procurement Services. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadlines are published in the "Commerce Business Daily" and Federal Register. In fiscal year 1983 the deadline date for grant applications will be in December, 1982.

**Range of Approval/Disapproval Time:** 30 to 60 days.

**Appeals:** Unsuccessful contract applicants may request a debriefing by the Contracts Office in which strengths and weaknesses in their proposals will be identified.

**Renewals:** Project grants are usually awarded for a period not to exceed four years. Applications to continue are submitted on an annual basis at deadlines announced in the Federal Register.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Assistance is normally available for 1 year under NDN activities.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Reports on progress and expenditures in accordance with the terms of the contract or grant.

**Audits:** The contracting officer or grants officer or his representative shall have audit and inspection rights in accordance with the terms of the contract or grant.

**Records:** Financial documents are to be maintained until the expiration of 5 years from the date of final payment in accordance with the terms of the contract.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0502-0-1-501.

**Obligations:** (Grants) FY 81 $8,750,000; FY 82 est $10,320,000; and FY 83 est $8,110,000 in grants and $640,000 in contracts.

**Range and Average of Financial Assistance:** NDN-Developer/Demonstrator range $28,000 to $68,000; Average $45,000, State Facilitators range $25,000 to $200,000, average $70,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, awards were made to 113 developer demonstrators and 53 facilitators. Fiscal year 1981, 85 developer demonstrators and 55 facilitators were funded. In fiscal year 1982 it is estimated that 97 developer demonstrators and 55 state facilitators will be funded. There were over 8,700 full adoptions in the 1979-80 school year of the exemplary programs funded under the National Diffusion Network.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Contracts: Federal and HHS procurement regulations (41 CFR Chapter 1 and 3) and Final Program Regulations dated April 21, 1980, Vol. 45, No. 78, pages 26,914 thru 26,922, Grants: (34 CFR Parts 75 and 77) and Federal Register, Final Program Regulations (34 CFR Part 796) dated April 21, 1980. "Educational Programs That Work" - Far West Laboratory for Educational Research and Development, 1855 Folsom St., San Francisco, California 94103, Price $4.50 prepaid.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Diffusion Network Division, Department of Education, Room 802, Riviere Building, 1832 M Street, N.W., Washington, DC 20036. Telephone: (202) 653-7000. Contact: Robert M. Mulligan.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:** In evaluating proposals for Developer Demonstrator Projects, the Secretary will apply the following criteria: the quality of plan of operation for the projects, the quality of key personnel, the budget and cost effectiveness, the evaluation plan, the adequacy of resources, the promise of effective postadoption monitoring and evaluation of program implementation and resulting benefits at the adoption sites, access to sites, and proposed innovative dissemination strategies. In evaluating proposals for Facilitator Projects, the Secretary will apply the following criteria: the quality of the plan of operation, the quality of key personnel, the budget and cost effectiveness, the adequacy of resources, the extent of consultation during application, the extent of consultation during the project, the quality of plans to monitor and assist sites that adopt the programs, and proposed innovative dissemination strategies.

## 84.077 BILINGUAL VOCATIONAL TRAINING

**FEDERAL AGENCY:** OFFICE OF DIRECTOR OF BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, Title I, Part B, Subpart 3, Sections 181-189A, as amended by the Education Amendments of 1976, Public Law 94-482, Title II; 20 U.S.C. 2414.

**OBJECTIVES:** To provide English language instruction and skills training to unemployed or underemployed individuals of limited English-speaking ability to prepare them for employment in recognized occupations and in new and emerging occupations.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** To serve persons who have completed or left elementary or secondary school and who are unable to secure gainful employment suited to their needs, interests, and abilities because they are of limited English-speaking ability. The bilingual vocational training program must include instruction in the English language designed to ensure that participants in the training will be assisted to pursue occupations in environments where English is the language normally used. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Local educational agencies, appropriate State agencies, post-secondary education institutions, private nonprofit vocational training institutions, nonprofit educational or training organizations especially created to serve a group whose language as normally used is other than English, and private-for-profit agencies and organizations (last named being eligible only for contracts).

**Beneficiary Eligibility:** Persons who are unemployed or underemployed because of their limited English-speaking ability.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be prepared and submitted to the Education Department in accordance with program announcements and established deadlines.

**Award Procedure:** Based upon evaluations and recommendations of outside experts and internal review, the Director of the Office of Bilingual Education and Minority Languages Affairs approves an application for support. After negotiation is completed, the Education Department grants officer sends the Notification of grant award to the recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Awards are for a project period ranging from 1 to 5 years. Continuation of a multi-year is conditional on the grantee's demonstration of satisfactory progress toward achieving program objectives and the availability of funds.

**Deadlines:** As announced by the Secretary of Education. A notice of closing date was published in the FEDERAL REGISTER (46 FR 53278) establish in January 6, 1982, as the deadline for transmittal of applications for fiscal year 1982 funds. Contact the program office for information. Telephone: (202) 245-2595. Prospective applicants may request placement on mailing list.

**Range of Approval/Disapproval Time:** From 60 to 90 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required by Education Department General Administrative Regulations 34 CFR 75.720-75.721. Specific reporting requirements are contained in the grant document.

**Audits:** Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and agreements.

**Records:** As required by Education Department General Administrative Regulations 34 CFR 75.730-75.734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** FY 81 $2,574,000; FY 82 est $2,196,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $100,000 to $350,000; $200,000.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 funds supported 13 projects. It is estimated that fiscal year 1982 funds will support 12 projects. Seventy-two applications were received for fiscal year 1982 funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations Title 34 CFR Part 525.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Bilingual Education and Minority Languages Affairs, Department of Education, 400 Maryland Avenue, S.W., (Room 421, Reporters Building) Washington, DC 20202. Telephone: (202) 245-2595. Contact: Joan Cassidy.

**RELATED PROGRAMS:** 84.003, Bilingual Education; 84.048, Vocational Education—Basic Grants to States; 84.050, Vocational Education—Program Improvement and Supportive Service; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.099, Bilingual Vocational Instructor Training; 84.100, Bilingual Vocational Instructional Materials, Methods, and Techniques.

**EXAMPLES OF FUNDED PROJECTS:** The following are examples of the types of projects funded: A project training 50 limited-English speaking students as dental assistants through classroom instruction, work in a university dental clinic, and on-the-job training with dentists; A project training 210 limited-English speaking persons in housing maintenance, preparing them to work as building superintendents and carpenters; A project training 108 Indochinese men and women to be electronic assemblers and technicians; A project training 72 Chinese men and women as professional chefs and food service personnel.

**CRITERIA FOR SELECTING PROPOSALS:** The Secretary uses criteria which rate: (1) Need for the proposed project; (2) Project objectives; (3) Plan of operation; (4) Management plan; (5) Evaluation plan; (6) Quality of personnel; (7) Adequacy of budget and cost effectiveness; and (8) Institutional capability and commitment. The Secretary also considers the following in making funding decisions; (a) Duplication of effort; (b) Duplication of funding; and (c) Evidence that an applicant has not performed satisfactorily on previous projects.

## 84.078 REGIONAL EDUCATION PROGRAMS FOR DEAF AND OTHER HANDICAPPED PERSONS

### (Regional Education Programs)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Amendments of 1974, Title VI, Part C - Education of the Handicapped, Section 625, as amended by Public Law 95-49; Public Law 93-380.

**OBJECTIVES:** To develop and operate specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** The Secretary is authorized to make grants to or contracts with institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies for the development and operation of specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf and other handicapped persons. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies.

**Beneficiary Eligibility:** Handicapped persons: Persons who are mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, emotionally disturbed, crippled, or in other ways health impaired and by reason thereof require special education programming and related services. Persons who have a disorder in one or more of the basic psychological processes involved in understanding or in using language, spoken or written, which may be manifested in imperfect ability to listen, think, speak, read, write, spell, or do mathematical calculations. These latter disorders include such conditions as perceptual handicaps, brain injury, minimal brain dysfunction, and dyslexia. The Secretary shall give priority consideration to programs serving multistate, interstate regions or large population centers; programs adapting existing programs of vocational, technical, postsecondary, or adult education to the special needs of handicapped persons and programs designed to serve areas where a need for such services is clearly demonstrated.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Proposals in response to specific RFP's and applications for grants in response to published closing dates should be sent to: Department of Education Applications Control Center, Room 5673, ROB No. 3, 7th and D Sts., S.W., Washington, DC. Mailing Address: Office of Education, Applications Control Center, 400 Maryland Ave., S.W., Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals are reviewed by outside experts and Government personnel. On the basis of their recommendations and those of the Office, an award is made by the Secretary of Education.

**Deadlines:** As announced in the Commerce Business Daily.

**Range of Approval/Disapproval Time:** Approximately 150 days.

**Appeals:** Appeals may be made to Deputy Secretary, Special Education Programs.

**Renewals:** Funding is on a 1-year basis with renewal possible.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** 1 to 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports and final reports as required by award document.

**Audits:** Post audit plus periodic audits during life of project.

**Records:** Records are to be retained as required by award document.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants and contracts) FY 81 $2,950,000; FY 82 est $2,832,000; FY 83 This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $25,000 to $50,000; $48,667.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 5 contracts were continued, and 18 new grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Published in the Federal Register, June 15, 1976, Vol. 41, No. 116, pp. 24125-24127, and amended in Federal Register, April 3, 1980, Vol. 45, No. 66. p. 22533; RFP announcements will appear in the Commerce Business Daily.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Innovation and Development, Special Education Programs, Office of Assistant Secretary for Special Education and Rehabilitation, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Telephone: (202) 245-9722. Contact: Joseph Rosenstein.

**RELATED PROGRAMS:** 84.042, Special Services for Disadvantaged Students; 84.126, Rehabilitation Services—Basic Support.

**EXAMPLES OF FUNDED PROJECTS:** All funded projects provided models of specialized support services for handicapped persons enrolled in postsecondary programs. Illustrative of such services are interpreting, reading, tutoring, notetaking, counseling, test proctoring, housing location, registration assistance, and personal attending (for wheelchair bound students). Most grantees administered/coordinated such services out of special offices for handicapped student services, and some had dissemination and technical assistance components to offices in other institutions of higher education.

**CRITERIA FOR SELECTING PROPOSALS:** When initially submitted proposals are evaluated on the following categories: 1. Program concept, 2. Organization, 3. Management, and 4. Budget. Subsequent submissions for continuation were judged by the following criteria: 1. Progress reports, 2. Continuation proposal, 3. Site visits, and 4. Outside consultants (optional; usually a part of a site visit). New projects funded via RFP's will have individual criteria pertaining to and listed in each announcement. Proposed new criteria for grant programs include: 1. Plan of operation, 2. Quality of personnel, 3. Budget and cost, 4. Evaluation plan, and 5. Adequecy of resources.

## 84.083 WOMEN'S EDUCATIONAL EQUITY

### (Women's Educational Equity Act Program)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** The Women's Educational Equity Act of 1978; Public Law 95-561, Title IX, Part C of Elementary and Secondary Education Act, Education Amendments of 1978, which amended the original Women's Educational Equity Act of 1974, Public Law 93-380, Section 408; 86 Stat. 554; 20 U.S.C. 1866, as amended by Section 325 and 501(a) of Public Law 94-482; 90 Stat. 2220 and 2335.

**OBJECTIVES:** 1) To promote educational equity for women and girls at all levels of education and 2) to provide financial assistance to local educational institutions to meet the requirements of Title IX of the Education Amendments of 1972.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Grants are awarded for model developmental, dissemination, and demonstration activities in six authorized activities: 1) curricular, textbooks, and other educational materials; 2) preservice and inservice training for educational personnel; 3) research, development and other educational activities; 4) guidance and counseling activities; 5) educational activities to increase opportunities for adult women; and 6) expansion and improvement of educational programs for women in vocational education, career education, physical education, and educational administration. The following five priorities for funding are established to enable the program to support projects addressing areas of greatest need. In addition, a category of "Other Authorized Activities" permits funding of projects which do not meet the criteria for one of the priority areas. Applicants must select the priority under which to apply and identify that priority on the application. These include: 1. Model projects on Title IX compliance, 2. Model projects on educational equity for racial and ethnic minority women and girls, 3. Model projects on educational equity for disabled women and girls, 4. Model projects to influence leaders in educational policy and administration, and 5. Model projects to eliminate persistent barriers to educational equity for women and girls. The second program of grants to provide financial assistance to local educational institutions to meet the requirements of Title IX has not been funded, it will be funded when congressional appropriations for WEEA exceed $15 million. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local governments, educational institutions and programs, private nonprofit organizations and institutions (including student, community, and women's groups), and individuals. Assistance is available to Guam, American Samoa, Trust Territory of the Pacific Islands, Government of the Northern Marianas, Virgin Islands, and Puerto Rico.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Secure final regulation, grant application forms, and instructions from Women's Educational Equity Act Program, Department of Education, after application deadline announcement in the Federal Register. Secure copies of Requests for Proposals from Grants and Procurement Management Division, Department of Education, after solicitation announcements in the Commerce Business Daily. Prepare and address submissions according to published directions. Approximatley 1 of 10 grant applications are funded. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Applications and proposals are reviewed by a broad representative panel of experts in educational equity representing various geographical areas, racial/ethnic groups, and levels of education. Final decisions on grants are made by the Secretary on the basis of (1) the evaluation criteria published in the regulation, (2) the need to support a variety of projects at every level in every field in education, and (3) the need for geographical diversity in projects funded. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Established for grants each year by notices published in the Federal Register. Federal Register should be consulted during October, November, December, 1983. Established for contracts in solicitation announcements in Commerce Business Daily. A mailing list is maintained for disseminating grant information.

**Range of Approval/Disapproval Time:** Four months from receipt of applications.

**Appeals:** None.

**Renewals:** Awards are made annually. Secretary may indicate the intention to support projects on a multiyear basis contingent on the availability of funds, project performance, and applicable priorities.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Applicants may propose and justify multiyear projects.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In addition to a final report, program progress and financial reports are due semiannually. Projects are subject to national evaluations performed by ED and by the National Advisory Council on Women's Educational Programs.

**Audits:** Grantees will maintain program and accounting records for audit for GAO and/or ED.

**Records:** Records are to be maintained as indicated in the grant or contract award document.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0103-0-1-501.

**Obligations:** (Grants and contracts) FY 81 $8,051,866; FY 82 $5,760,000; and FY 83 $0.

**Range and Average of Financial Assistance:** $6,000 to $1,079,000; $103,000 for grants and $359,000 for contracts.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 55 grants and 6 contracts were awarded. Contracts for fiscal year 1981 continue the WEEA Publishing Center, which publishes and disseminates products and programs developed by WEEA grants, and implementation of five comprehensive demonstration sites in five local school districts of educational equity materials and programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Part 745 at 22730; April 3, 1980. Spring, 1980. Annual Report, September 30, 1978; fourth Annual Report, March, 1980; Fifth Annual Report, June, 1981.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** John Fiegel, Women's Educational Equity Act Program Staff, School Improvement Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, Donohoe, Bldg., 400 6th Street S.W., Room 1105, Washington, DC 20202. Telephone: (202) 245-2181. Contact: Dr. Leslie R. Wolfe, Director.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** The following three projects reflect some of the primary emphases of the WEEA Program's 70 FY 1980 grants. 1.) The Disability Rights Education and Legal Defense Fund, Berkeley California Project is a three year research and demonstration project designed to: (a) assess the educational needs of a wide range of disabled women and girls; (b) develop written materials for education and counseling practitioners that reflect the educational needs of disabled women and girls; (c) conduct two regional training conferences to present research findings to such practitioners; and, (d) develop model curricula and approaches to training disabled teenage girls and young women in their civil rights, educational and career opportunities, and how to secure them. One national training conference for disabled teenage girls and young women will be held to apply and refine the model. This three year effort will result in more equitable educational and counseling programs and approaches for disabled girls and young women. This balancing of educational equity will in turn have a positive impact on the career and educational aspirations and achievements of disabled women. 2.) The Wellesley College Center for Women, Wellesley, Massachusetts Project will create a network of policymakers and researchers concerned with educational equity for Black women and girls; it will identify researchers priorities and encourage research in areas of significance to policy-makers, and prepare a major resource guide on Black women's education needs. Project activities include the establishment of regional and national committees which promote networking, the development and co-sponsorship of five regional seminars which promote dialogue between policy-makers and researchers, and dissemination of a newsletter which describes project activities, new research and related projects. The regional seminars will deal with such topics as "Research and Policy Issues in the Education of Black Girls," "The Campus Environment and Black Women's Education," "Occupational Trends and Black Women's Education," "New Developments in Education and Black Women's Education," and "Government's Role in Black Women's Education." 3.) Orange County Public Schools, Orlando, Florida is developing and testing a model for the coordination of staff development training and technical assistance between local educational agencies and preschools, both public and private. The model will be designed to promote continuity of effort from the preschool level on equity and Title IX compliance. 4.) A manual describing this model will be produced to provide other LEAs with a resource which they can use in a variety of community settings with diverse populations. Included in the Manual will be components designed to increase awareness of sex stereotypes of preschool administrators and parents, as well as specific nonsexist techniques and skills which teachers may use in the classroom.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria are part of the regulations for the Women's Educational Equity Act Program. There are five general areas. Twenty-four points are awarded for "Need and Impact." The purpose of this criterion is to determine the extent to which the needs addressed by the project are significant to the achievement of educational equity for women. Sixteen points are awarded for "Objectives." This criterion determines whether the project's objectives are likely to meet the identified needs and whether the approach to achieving the objectives is a realistic one. Forty points are awarded for "Plan of Operation." The purpose of this criterion is to evaluate the effectiveness of the proposed strategy and activities designed to achieve the project's objectives, including the proposed management plan, budget, and evaluation plan. Ten points are awarded for "Applicant's commitment to educational equity for women," to evaluate the applicant's demonstrated commitment to educational equity for all women through review of various factors, including employment practices and programmatic activities. Ten points are awarded for "Staff qualifications," to evaluate the qualifications and capability of both the project director and staff. For small grant applicants only, five points are awarded for "innovative approaches," to evaluate how the application achieves the purpose of the small grant program, to develop innovative approaches to the achievement of educational equity.

## 84.086 INNOVATIVE PROGRAMS FOR SEVERELY HANDICAPPED CHILDREN

### (Programs for Severely Handicapped Children and Youth)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education of the Handicapped Act, Title VI, Part C, Section 624; Public Law 91-230; 20 U.S.C. 1424.

**OBJECTIVES:** To improve and expand innovative educational/training services for severely handicapped children and youth; and improve the acceptance of such people by the general public, professionals, and possible employers.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Contracts must be designed to provide innovative approaches to education/training services to severely handicapped children and youth in deinstitutionalized and/or integrated settings, in-service training of staff, services to parents, and dissemination of materials and information. Research and teacher preparation are outside of program intent, except to the extent necessary for support of an approvable program. Evidence of coordination of project with agencies serving the same population must be provided including the indication of consonance of the project with State planning for handicapped children.

JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters office for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public and nonprofit private agencies, organizations, or institutions, including State departments of special education, intermediate or local educational agencies, institutions of higher learning, professional organizations and volunteer associations.

**Beneficiary Eligibility:** Severely handicapped children and youth receiving basic educational services but who require special education/training and related services in order to effectuate their development in least restrictive environments.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and Local, agencies.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Coordination of applicant agency with all other State and local public and non-public agencies and organizations which provide services to severely handicapped children and youth, in the development and design of the proposal.

**Application Procedure:** Request for proposals (RFP) will be announced in the "Commerce Business Daily", with additional memos directed to those individuals and agencies known to have interest in the provision of services to severely handicapped children. Copies of the project work statement will then be mailed to those who so request. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Proposals will be read by field reader panel; notification of awardees regarding contract awards will be made through the Contract Office to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced. Mailing list maintained to advise as to actual dates.

**Range of Approval/Disapproval Time:** 10 to 12 weeks.

**Appeals:** Not applicable.

**Renewals:** Funding is incremental for 3-year projects.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** 12 to 36 months. Contract funds provided incrementally.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Progress reports shall be made periodically as requested in project work statement. Annual reports shall be submitted after each year-end of project activities.

**Audits:** Post-audit plus periodic audits during the life of a project.

**Records:** Accounts, records and other evidence pertaining to all costs incurred.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0300-0-1-501.

**Obligations:** (Grants and contracts) FY 81 $4,375,000; FY 82 est $2,880,000; and FY 83. This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $87,932 to $224,207; $135,875.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, direct educational services were provided to 1,750 severely handicapped children and youth in a variety of educational settings-residential to day center. Indirect services were provided to approximately 1,260 severely handicapped children and 975 professionals through outreach efforts of validated programs. Additional in-service training was provided to 430 professionals and 900 non-professionals. In fiscal year 1981, it is anticipated that approximately 22 programs will be funded to direct attention to the severely handicapped population, ages 0-21. The primary focus for fiscal year 1981 will be to implement educational models designed to provide innovative approaches to educational/training practices to severely handicapped children/youth in deinstitutionalized and/or integrated settings. Additionally, a special thrust will be in model, innovative educational services to autistic children/youth. The estimated total number of students to be served will be approximately 2,100 receiving direct services and 870 receiving indirect services. The new personnel-professional and para-professional to receive training will total approximately 150. A series of conferences are being planned to develop new approaches in curriculum and pre/vocational training.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 121e; Regulations: published in the Federal Register, February 20, 1975, Vol. 40, No. 35, page 7419.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Innovation and Development, Special Education Services, Office of Assistant Secretary for Special Education and Rehabilitation Services, Department of Education, 400 Maryland Ave., S.W., (Donohoe, Room 3135), Washington, DC 20202. Telephone: (202) 472-2535. Contact: Paul Thompson.

**RELATED PROGRAMS:** 84.009, Program for Education of Handicapped Children in State Operated or Supported Schools; 84.025, Handicapped Innovative Programs-Deaf-Blind Centers; 84.026, Handicapped Media Services and Captioned Films; 84.027, Handicapped Preschool and School Programs; 84.028, Handicapped Regional Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:** Projects include: educational community placements for institutionalized severely mentally retarded; innovative instruction of deaf-blind youth; services to severely/profoundly mentally retarded children and adolescents; specialized training methods for improving the communication abilities of deaf-blind children.

**CRITERIA FOR SELECTING PROPOSALS:** The technical proposals will be evaluated on the basis of the criteria and weighting factors cited in the RFP. The proposals will be reviewed also for content, completeness, and conformity to the specifications of the RFP. A committee will be selected by OSERS to review all proposals received. Persons included for committee membership will be selected for their expertise in areas related to the subject of the RFP. Once proposals have been reviewed and ranked, the highest ranking proposals will be compared with their proposed budgets for the purpose of determining the best project at the most reasonable cost. Offerors are reminded that the government reserves the right to make award(s) to other than the lowest bidders if it determines that greater cost benefit would accrue there from to the government.

## 84.087 INDIAN EDUCATION—FELLOWSHIPS FOR INDIAN STUDENTS

### (Section 423 Fellowships)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION year 1981. It is estimated that 176 awards will be made in 1982 and 133 in 1983.

**AUTHORIZATION:** Title IV, Section 423, Part B, Public Law 92-318, as amended; 20 U.S.C. 33856.

**OBJECTIVES:** To enable Indian people to earn professional degrees in medicine, law, education, engineering, natural resources, and business administration.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Fellowships include stipends, dependency allowances, tuition and fees, book allowances, and, in some cases, research and moving expenses. Fellowships are awarded to Indian students to enable them to pursue approved courses of study at accredited colleges or universties.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** An American Indian who is in attendance, or who has been accepted for admission, as a full-time student at an institution of higher education for study in a graduate program leading to a degree in medicine, law, or education, or for study in an undergradute or graduate program leading to a degree in engineering, business administration, or natural resources.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Documentation that the applicant is an Indian and has been accepted as a full-time student at a university. Acceptance by the university must be in an eligible field of study.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Applications are submitted by the students directly to the Federal agency. The application packet (ED Form 501) is available from the headquarters office.

**Award Procedure:** Applications are reviewed by panels of field readers and agency personnel. Final selections are made by the Secretary of Education. Grants are made to university in the name of the fellows.

**Deadlines:** Deadlines are established annually. A mailing list is maintained at the address given below; application packets are mailed as soon as they are available.

**Range of Approval/Disapproval Time:** 120 days.

**Appeals:** None.

**Renewals:** Students may be awarded a fellowship for up to 4 years depending on the normal course of study in their field. Funds are provided on a yearly basis, with each year's funds being dependent upon an appropriation from Congress and satisfactory performance by the fellow.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Academic year. Payments are made to institutions at the beginning of each academic year. The institutions issue monthly stipends to the fellows.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Fellowship holders must submit a report of their progress (e.g., grades earned) at the conclusion of each quarter or semester.

**Audits:** None.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0101-0-1-501.

**Obligations:** (Grants) FY 81 $1,484,346; FY 82 est $1,370,000; FY 83 est $1,000,000.

**Range and Average of Financial Assistance:** $2,300 to $13,000; $7,497.

**PROGRAM ACCOMPLISHMENTS:** The program made awards to 198 out of 778 applicants during fiscal year 1981. It is estimated that 176 awards will be made in 1982 and 133 in 1983.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations are in Title 34 of the Code of Federal Regulations, Part 263.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Indian Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Telephone: (202) 245-8020. Hakim Khan.

**RELATED PROGRAMS:** 84.061, Indian Education—Special Programs and Projects.

**EXAMPLES OF FUNDED PROJECTS:** Fellowships only.

**CRITERIA FOR SELECTING PROPOSALS:** Need, academic record, other evidence of potential success, and service to Indians.

## 84.091 STRENGTHENING RESEARCH LIBRARY RESOURCES

### (HEA Title II-C)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, Public Law 89-329, Title II, Part C, Sections 231-236, as amended by the Education Amendments of 1980, Public Law 96-374, Sections 201, 202, 231 and 232; 20 U.S.C. 1021, 1022, 1041 and 1042.

**OBJECTIVES:** To promote research and education of higher quality throughout the United States by providing financial assistance to help major research libraries maintain and strengthen their collections, to assist major research libraries in making their holdings available to individual researchers and scholars outside their primary clientele, and to other libraries whose users have need for research materials. The Secretary of Education seeks to achieve a reasonable regional balance in the allocation of grant funds under this program.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** (1) Grant funds may be used for, but are not limited to, the acquisition of books and other materials, maintenance of material, indexing and abstracting, distribution of materials, equipment and supplies, additional staff, and communications. (2) An institution receiving a grant under Section 211 or 224 of the Higher Education Act (College Library Resources Program or Special Purpose Grants Program) is ineligible to receive a grant under this Part in the same fiscal year. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only major research libraries are eligible. Major research libraries may be public or private nonprofit institutions, including the library resources of an institution of higher education, independent research libraries, and State or public libraries. They must demonstrate that they have collections which are available to qualified users and which make a significant contribution to higher education and research, are broadly based, are recognized as having national or international significance for scholarly research, are of a unique nature and contain material not widely available, and are in substantial demand by researchers and scholars not connected with the applicant institution.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local agencies. (34 CFR Part 75 and 77, appendices B-D).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application face page (SF 424) as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Eligible institutions submit to ED: Application for Grants Under Strengthening Research Library Resources Program, ED Form 592, which includes an SF 424 face page, a budget plan and a narrative proposal. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** In final selection of grantee, outside evaluators' ratings availability of funds and a reasonable regional allocation of funds are considered. The Secretary of Education announces awards to accepted applicants. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Applications are submitted annually. Deadline for FY 81 was March 16 1981. Applications will be available from program office after announcement of the deadline in the Federal Register.

**Range of Approval/Disapproval Time:** Approximately 4 months.

**Appeals:** None.

**Renewals:** Renewals subject to the availability of funds, and the Secretary's determination as to adequate program performance.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Funds are awarded annually. Projects normally last 15 months, but some projects may be supported up to 5 years. Quarterly payments made through DFAFS based upon forecasted cash needs provided in budget information. Adjustments are made based upon actual expenditures as indicated on Final Financial Status and Performance Report.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Final Financial Status and Performance Report (ED 606). The annual program report and annual expenditures report is due 90 days after termination of the grant.

**Audits:** Federal audits will be made in accordance with the policies of OMB Circular No. A-73 to insure that funds have been applied efficiently, economically, and effectively.

**Records:** Financial records are expected to be maintained for 5 years after date of submission of the annual expenditure report. In cases of audit questions, records must be maintained until resolution.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0104-0-1-503.

**Obligations:** (Grants) FY 81 $6,000,000; FY 82 est $5,280,000; FY 83 est $0.

**Range and Average of Financial Assistance:** $43,680 to $800,000; $150,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 30 awards funding project activities in 41 major research libraries were made. Four of the awards were continued from fiscal year 1980 and 26 were new awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Strengthening Research Library Resources, 34 CFR Part 778, Sections 778.1 - 778.10. See Federal Register of December 24, 1980, p. 85430; A Notice of Proposed Rulemaking (NPRM) was published in the FEDERAL REGISTER in October 28, 1981; FY 1981 Abstracts.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Library Programs, Office of Libraries and Learning Technologies, Office Educational Research and Improvement, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 245-9530. Contact: Frank A. Stevens.

**RELATED PROGRAMS:** 84.005, College Library Resources.

**EXAMPLES OF FUNDED PROJECTS:** A project to produce an online catalog of the complete collection of the "Fox Movietonews" newsfilm collection; A project to preserve and provide access to rare materials in the Native Americans of the Pacific Northwest collection including explorer journals, photographs and pictorial materials and archival recordings of Indian languages; A project to continue the acquisition and cataloging of serials; dissertations, and archives and monographs for Southeast Asia and East Asia.

**CRITERIA FOR SELECTING PROPOSALS:** (SEE PROGRAM REGULATIONS FOR DETAILED CRITERIA) (A) Significance as a major research library the extent to which the applicant's library collection(s): (1) makes a significant contribution to higher education and research, (2) are broadly based (3) are recognized as having national or international significance for scholarly research, (4) are of a unique nature, and contain material not widely available and, (5) are in substantial demand by researchers and scholars not connected with the applicant institution; (B) Nature of project: (1) The extent to which the specific objectives and activities of the project are designed to contribute to the purposes of this part, (2) The applicant's institutional commitment and capability to continue to build upon the Federal project upon its expiration, (3) The extent to which the specific proposed activities and expenditures under the project are new and innovative activities or are designed to expand upon and supplement the applicant's activities and expenditures, (4) Plan of operation, (5) Quality of key personnel, (6) Budget and cost effectiveness (7) Evaluation plan, (8) Adequacy of resources, (C) Projects eligible under other Federal Programs: Notwithstanding the criteria in paragraphs (a) and (b) of this section, the Secretary will not fund a project eligible for assistance under other Federal programs authorizing grants to support research libraries, such as the Medical Library Assistance Act of 1965 (Public Law 93-353), unless the application: (1) Documents that payments under this part will not duplicate payments under other Federal programs; and (2) Demonstrates a special need for funding under this part.

## 84.094 GRADUATE AND PROFESSIONAL STUDY (Graduate Programs)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, as amended, Title IX, Part B.

**OBJECTIVES:** Part B provides grants to institutions of higher education to support fellowships for graduate and professional education to students demonstrating financial need. Fellowships are awarded to support students in the following two categories: (1) Graduate and Professional Opportunity Fellowships, awarded to individuals from groups who are underrepresented in graduate or professional study; and (2) Public Service Education Fellowships, awarded to individuals who plan to begin or continue a career in public service. Note: The "Education Amendments of 1980" provided for a new Part B of Title IX of the Higher Education Act of 1965 which combined the above two categories of fellowships (previously two separate programs) into one single program entitled "Fellowships for Graduate and Professional Study."

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Fellows must maintain satisfactory academic records, devote full time to their studies, and not engage in unrelated employment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any accredited institution of higher education with a graduate or professional program leading to an advanced or professional program may apply for an award under Part B.

**Beneficiary Eligibility:** Persons nominated for fellowships must be accepted by an approved institution as a full-time candidate for an advanced degree; must be a citizen or native of the United States, or if an alien have permanent resident status.

**Credentials/Documentation:** Applications in a form to be prescribed for grants must be filed with the Secretary.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Instructions and forms concerning application procedures will be mailed to all eligible institutions following publication of the funding criteria in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Panels of experts from outside the Government will appraise all applications and recommend funding to the Secretary who will make the final decisions.

**Deadlines:** Contact headquarters for application deadlines. Inquire October 1. Inquire October 1.

**Range of Approval/Disapproval Time:** From 3 to 4 months.

**Appeals:** Not available.

**Renewals:** Request for continuation of support under Part B is done on a noncompeting basis. Continuation of support under Part B is done on a noncompeting basis.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Fellowships are awarded for one year only. Actual grants are subject to annual Congressional appropriations. Renewals or extensions will depend upon evidence of progress during the preceding year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** To be determined by the Secretary.

**Audits:** As required by regulations.

**Records:** All records must be retained for Federal auditors for a period of 5 years from the termination of the award.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Graduate and Professional Opportunities) FY 81 $10,000,000; FY 82 est $8,640,000; and FY 83 est $0. (Public Service Education) FY 81 $2,000,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Fellowship awards: Under the current regulations, minimum award to an institution is $75,000 covering all two categories of fellowships. (Exception, request for continuing fellowships only.) Each one-year fellowship in stipends is worth $4,500 or the fellow's financial need, whichever is less, and $3,900 in institutional allowance.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, Graduate and Professional Opportunities funds supported 1,177 fellowships at 122 institutions as well as 16 institutional grants. Fiscal year 1981 Public Service Education funds supported 214 fellowships at 41 institutions. In the same year, funding for Domestic Mining was not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Available from Headquarters Office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Institutional and State Incentive Programs, Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 7th and D Streets, S.W., Regional Office Building No. 3, Washington, DC 20202. Telephone: (202) 245-2347. Contact: Dr. Donald N. Bigelow.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Under Graduate and Professional Opportunities, allocations of fellowships have been made in such areas as the physical sciences, the social sciences, engineering, medical sciences, and law. Institutional grants have been made to fund such activities as recruitment, retention, counseling, and others in support of fellowship programs. For Public Service Education, fellowships have been awarded for programs in Master of Public Administration, Master of Public Affairs, Master of Public Policy, Master of Public Management, and Master of Urban Studies.

**CRITERIA FOR SELECTING PROPOSALS:** Fellowship Awards: The Secretary reserves funds for Graduate and Professional Opportunity and Public Service Education, in accordance with section 922(e) of the Act and applicable appropriation statutes. Also, before considering applications that include support for new fellowships, the Secretary provides funds to continue support for qualified students who were awarded fellowships under each category in a previous year and are maintaining satisfactory progress as determined by the institution. Graduate and Professional Opportunities Fellowships: In assessing applications for this category, the Secretary ranks each academic area in which the applicant proposes to award fellowships. Each academic area is ranked according to the combined scores for institution-wide criteria and criteria for that area. Under Institution-Wide Criteria, (1) institutional commitment ranks 20 points, (2) the recruitment plan is 14 points, (3) the net increase of underrepresented student ranks 8 points, (4) evaluating the program director is 8 points, and (5) employment opportunities ranks 6 points. In evaluating the Academic Area Criteria, (1) evidence of underrepresentation may receive up to 10 points, (2) evidence of national need up to 10 points, (3) quality of academic program up to 7 points, (4) quality of key faculty up to 7 points, (5) adequacy of resources up to 5 points, and (6) special orientations and experiences up to 5 points. (20 U.S.C. 1134e(e)(3)). Public Service Education Fellowships: The Secretary uses the following criteria in selecting Public Service fellowship awards: (1) Program objectives (10 points), (2) proving public service education to individuals from underrepresented groups (10 points), (3) the quality of the academic program (10 points), (4) relevant supervised practical experiences and internship offered (15 points), (5) the quality of the personnel, the time each key member person will commit to the project, and the extent to which the applicant encourages personnel applications from persons who are members of groups that have been traditionally underrepresented (25 points), (6) adequacy of resources to be used (facilities and equipment) (10 points), (7) cooperative arrangements with governmental or other nonprofit agencies (10 points), (8) cooperative arrangements with other graduate units of the institution (5 points), and (9) the success of graduates in achieving leadership and management positions in public service careers (5 points). (20 U.S.C. 1134e(d)).

## 84.097 LAW SCHOOL CLINICAL EXPERIENCE PROGRAM

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965 Title IX as amended, by Public Laws 90-575, 92-318, 94-482, and 96-374, 20 U.S.C. 1134n-1134p.

**OBJECTIVES:** (a) To establish and expand programs in law schools to provide clinical experience to students in the practice of law, (b) Expanding programs of clinical experience to include, but is not limited to, any of the following: (1) Development of new areas of clinical experience; (2) Increase in the number of participating students; (3) Provision of appropriate and improved supervison; and (4) Development and implementation of new teaching techniques.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are limited to not more than 80 percent of the total cost of establishing or expanding a clinical law program. No law school may receive more than $100,000 in any fiscal year under this grant. Costs are limited to expenditures for planning, preparation of related teaching materials, and administration; faculty training, payment for the director of supervision and other faculty or attorneys directly involved in supervision; travel and per diem for faculty and students; and other related activities in connection with the program. Student stipends are not an allowable cost under this program.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** (1) Accredited law schools and (2) a combinaton or consortium of accredited law schools.

**Beneficiary Eligibility:** Law school students enrolled in accredited schools of law.

**Credentials/Documentation:** Applications for these grants must be filed with the Secretary of Education in the manner prescribed in the Federal Register and the application booklet.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Instructions and forms detailing application procedures are mailed to all accredited law schools. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Panels including nonfederal government experts from law schools and private practice will appraise all applications and recommend funding to the Secretary, who will make final decisions.

**Deadlines:** Contact headquarters for application deadlines.

**Range of Approval/Disapproval Time:** 2 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Each successful applicant (law school) will be required to furnish at least 20 percent of the total cost of the clinical law program.

**Length and Time Phasing of Assistance:** 1 year only.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Such reports as the Secretary may require.

**Audits:** As may be required by regulations.

**Records:** All records must be retained for Federal auditors for a period of 5 years from the termination of the award.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $3,000,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** Range: $22,000 to $75,000; Average: $35,171.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1981; 110 applications were received requesting over $6 million in program funds, 74 awards were made to 74 institutions totalling approximately $3,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Mailed to all accredited law schools and also available from headquarters office.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Institutional and State Incentive Programs, Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 7th and D Streets S.W., Regional Office Building No. 3, Washington, DC 20202. Telephone: (202) 245-2347. Contact: Dr. Donald N. Bigelow.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Awards have been made to fund projects in criminal, civil, and tax law, among others. Other projects include consumer and employment-related legal activities.

**CRITERIA FOR SELECTING PROPOSALS:** The criteria to be used in evaluating applications are included in program regulations published on December 31, 1980 (34 CFR Part 639), and the Education Division General Administrative Regulations (Edgar - 34 CFR Parts 75 and 77).

## 84.099 BILINGUAL VOCATIONAL INSTRUCTOR TRAINING

**FEDERAL AGENCY:** OFFICE OF DIRECTOR FOR BILINGUAL EDUCATION AND MINORITY LANGUAGE AFFAIRS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, Title I, Part B, Subpart 3, Sections 181-189A, as amended by the Education Amendments of 1976, Public Law 94-482, Title II; 20 U.S.C. 2416; 90 Stat. 2207.

**OBJECTIVES:** To provide training for instructors of bilingual vocational training programs.

**TYPES OF ASSISTANCE:** Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Funds may be used for: (1) preservice training programs to prepare persons to be instructors in bilingual vocational training programs; (2) inservice training programs to improve the skills and qualifications of present instructors; and (3) fellowships and traineeships for trainees.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies, public and private nonprofit educational institutions.

**Beneficiary Eligibility:** Persons qualifying for training as bilingual vocational instructors.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be prepared and submitted to the Education Department in accordance with program regulations and announcements and established deadlines.

**Award Procedure:** Based upon evaluations and recommendations of outside experts, the Director of the Office of Bilingual Education and Minority Languages Affairs approves an application for support. After negotiation is completed, the Education Department Grants Officer sends the notification of grant award to the recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082. Awards are made for a project period ranging from 1 to 5 years. Continuation of a multi-year award is conditional on the grantee's demonstration of satisfactory progress toward achieving project objectives and the availability of funds.

**Deadlines:** As announced by the Secretary of Education. Contact the program office for information. Telephone: (202) 245-2595. Prospective applicants may request placement on mailing list.

**Range of Approval/Disapproval Time:** From 60 to 90 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula.

**Length and Time Phasing of Assistance:** 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required by Education Department General Administrative Regulations 34 CFR 75.720-75.721. Specific reporting requirements are contained in the grant document.

**Audits:** Periodic audits should be made as part of the recipient's management and internal control to meet the terms and conditions of grants and documents.

**Records:** As required by Education Department General Administrative Regulations 34 CFR 75.730-75.734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $990,000; FY 82 est $845,000; and FY 83 $0.

**Range and Average of Financial Assistance:** $125,000 to $225,000; $175,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 5 awards were made from a total of 24 applications received. In fiscal year 1982, approximately 6 awards will be made from 14 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations Title 34 CFR 526.611-526.617.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Bilingual Education and Minority Languages Affairs, Department of Education, 400 Maryland Avenue, S.W., (Room 421, Reporters Building), Washington, DC 20202. Telephone: (202) 245-2595. Contact: Joan Cassidy.

**RELATED PROGRAMS:** 84.003, Bilingual Education; 84.048, Vocational Education—Basic Grants to States; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.077, Bilingual Vocational Training; 84.100, Bilingual Vocational Instructional Materials, Methods, and Techniques.

**EXAMPLES OF FUNDED PROJECTS:** The following are examples of the types of projects funded: An in-service training project for 15 Chinese-speaking and 25 Spanish-speaking vocational teachers and counselors; A project training Chinese chefs as bilingual (Chinese/English) chef instructors who will serve as faculty members for bilingual vocational programs training chefs; A training project for 25 bilingual (Spanish/English) persons who have technical preparation in a trade or industrial occupation to prepare them to teach in a bilingual vocational training program.

**CRITERIA FOR SELECTING PROPOSALS:** The Secretary uses criteria which rate: (1) Need for proposed project; (2) Project objectives; (3) Plans of operation; (4) Management plan; (5) Evaluation plan; (6) Quality of personnel; (7) Adequacy of budget and cost effectiveness; (8) Institutional capability and commitment. The Secretary also considers the following in making funding decisions: (a) Duplication of effort; (b) Duplication of funding; and (c) Evidence that an applicant has not performed satisfactorily on previous projects.

## 84.100 BILINGUAL VOCATIONAL INSTRUCTIONAL MATERIALS, METHODS, AND TECHNIQUES

**FEDERAL AGENCY:** OFFICE OF DIRECTOR FOR BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, Title I, Part B, Subpart 3, Sections 181-189A, as amended by the Education Amendments of 1976, Public Law 94-482, Title II; 20 U.S.C. 2418.

**OBJECTIVES:** To develop instructional materials, methods, and techniques, and to encourage research programs and demonstration projects, to meet the shortage of instructional materials available for bilingual vocational training programs.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Funds may be used for (1) research in bilingual vocational training; (2) training programs to familiarize State agencies and training institutions with research findings, and with successful pilot and demonstration bilingual vocational training projects; (3) experimental, developmental, and pilot programs designed to test the effectiveness of research findings; and (4) other demonstration and dissemination projects.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies, public and private educational institutions, nonprofit organizations, private for-profit organizations and individuals.

**Beneficiary Eligibility:** Improvements in bilingual vocational training programs will benefit unemployed and underemployed persons of limited-English speaking ability.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for grants under this program. Requests for proposals are published in the Commerce Business Daily.

**Application Procedure:** Applications must be prepared and submitted to the Education Department in accordance with program regulations and announcements and established deadlines. Proposals must be prepared and submitted in accordance with instructions contained in the Request for Proposals (RFP).

**Award Procedure:** Based upon evaluations and recommendations of outside experts, the Director of the Office of Bilingual Education and Minority Languages Affairs approves applications or proposals for support. If the Department is funding grants, after negotiation is completed, the Education Department Grants Officer sends the Notification of Grant Award to the recipient. Notification of awards must be made to designated State Central Information Agency in accordance with Treasury Circular 1082. If the Department is funding proposals, after negotiations are completed, contracts are signed by the Education Department Contracts Officer and the contractor.

**Deadlines:** As announced by the Secretary of Education. Contact the program office for information, (202) 245-2595. Prospective applicants may request placement on the program mailing list.

**Range of Approval/Disapproval Time:** From 60 to 90 days.

**Appeals:** As specified in Federal Procurement Regulations, 41 CFR 1-2, pp. 407-8.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** For 18 months as of FY 1980.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** For grants, as required by Education Department General Administrative Regulations 34 CFR 75.720-75.721. Specific reporting requirements are contained in the grant or contract document.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** For grants, as required by Education Department General Administrative Regulations 34 CFR 75.730-75.734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants and Contracts) FY 81 $396,000; FY 82 est $338,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Estimated average contract: $200,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, two projects were funded. In fiscal year 1982, it is estimated that 2 projects will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations, Title 34 CFR 527.621-527.627.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Bilingual Education and Minority Languages Affairs, Department of Education, 400 Maryland Avenue, S.W., (Room 421, Reporters Building) Washington, DC 20202. Telephone: (202) 447-9227. Contact: Joan Cassidy.

**RELATED PROGRAMS:** 84.003, Bilingual Education; 84.048, Vocational Education—Basic Grants to States; 84.051, Vocational Education—Program Improvement Projects; 84.052, Vocational Education—Special Programs for the Disadvantaged; 84.077, Bilingual Vocational Training; 84.099, Bilingual Vocational Instructor Training.

**EXAMPLES OF FUNDED PROJECTS:** One of the fiscal year 1981 projects will identify and document procedures for for recruitment and placement of trainees and develop a resources handbook to guide project directors and job developers in establishing delivery service systems. The second project will identify personnel categioes and occupations in which bilingual is an asset.

**CRITERIA FOR SELECTING PROPOSALS:** The Secretary currently awards only procurement contracts under this program. Criteria are specifically established in the Request for Proposal.

## 84.101 VOCATIONAL EDUCATION—PROGRAM FOR INDIAN TRIBES AND INDIAN ORGANIZATIONS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, Title I, Part A, Section 103, as amended by the Education Amendments of 1976, Public Law 94-482, Title II; 20 U.S.C. 2303; 90 Stat. 2170.

**OBJECTIVES:** To make grants and contracts to Indian Tribes and tribal organizations to plan, conduct, and administer programs or portions of programs authorized by and consistent with the Vocational Education Act.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** To provide vocational education opportunities for Indians.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Indian tribes and tribal organizations which are eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act of 1975 or under the Act of April 16, 1934.

**Beneficiary Eligibility:** Indian tribes, Indian tribal organizations, and tribal members.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 and OMB Circular No. A-21.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application forms furnished by the Department of Education must be used for this program.

**Application Procedure:** Proposals must be prepared and submitted in accordance with program announcements.

**Award Procedure:** The Assistant Secretary for Vocational and Adult Education approves an application and, after negotiation is completed, the Department of Education Grants Officer sends the Notification of Grant Award to the recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** The program maintains a mailing list. Indian tribal organizations interested in receiving application materials when deadline announcements are made should send their requests to the headquarters office contact listed below.

**Range of Approval/Disapproval Time:** Between 60 to 90 days.

**Appeals:** After receiving notice from the Secretary that the Department of Education will not award a grant to an eligible applicant, the Indian Tribes or tribal organization has 30 calendar days to request in writing a hearing, to review the Secretary's decision.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** An award may not exceed 3 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Specific reporting requirements are contained in the grant award documents.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations Title 34 CFR, Part 75 and 77.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants and Contracts) FY 81 $6,182,654; FY 82 est $4,898,524; and FY 83 This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $42,240 to $905,268; average $301,294.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 24 new awards were made from a total of 55 applications received. Total project awards - 34.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations, Title 34 CFR, Part 408.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Project Officers, Office of Special Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Telephone: (202) 245-8190. Contact: Earl J. Dodrill or Harvey G. Thiel.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.050, Vocational Education—Program Improvement and Supportive Service; 84.061, Indian Education—Special Programs and Projects; 84.062, Indian Education—Adult Indian Education; 84.072, Indian Education—Grants to Indian Controlled Schools.

**EXAMPLES OF FUNDED PROJECTS:** The Yavapai-Prescott Indian tribe in Arizona is conducting a three-year education program comprised of comprehensive career orientation for tribal members at the junior and senior high school levels, vocational assessment and training workshops for unemployed or under-employed tribal members, and on-the-job and classroom training in construction skills. The Eight Northern Indian Pueblos in New Mexico is offering training in financial and administrative management and abode construction for the unemployed, high school drop-outs, unmarried heads of households, and homemakers seeking future employment. Although projects focus primarily on providing vocational skills training, some have additional features. The Ramah-Navajo tribe is providing skills in the construction trades and office occupations. In addition they are assisting adults to gain competencies in small business development and management, through the establishment of a small experimental community form and affiliated food distribution and cafe enterprise.

**CRITERIA FOR SELECTING PROPOSALS:** Technical review criteria. The following criteria are utilized in reviewing applications. A segment or segments of an application should address each criterion. Points are awarded to the extent that evidence in the application satisfies each criterion: (a) Program improvement. (Maximum 15 points); (b) Need. (Maximum 10 points); (c) Objectives. (Maximum 10 points); (d) Plan. (Maximum 15 points); (e) Management Plan. (Maximum 10 points); (f) Applicant's staff skills and experience. (Maximum 10 points); (g) Evaluation Plan. (Maximum 10 points); (h) Budget and cost effectiveness. (Maximum 10 points); (i) Institutional capability and commitment. (Maximum 10 points).

## 84.103 TRAINING FOR SPECIAL PROGRAMS STAFF AND LEADERSHIP PERSONNEL

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Sections 417A and 417F, Title IV of the Higher Education Act of 1965 (Public Law 89-329), as amended by Section 405, Public Law 96-374, 94 Stat. 1407 and 1411; 20 U.S.C. 1070d, 1070-1d.

**OBJECTIVES:** To provide training for staff and leadership personnel employed in, or preparing for employment in, projects funded under the Special Programs for Students from Disadvantaged Backgrounds, (program numbers 84.042, 84.044, 84.047, and 84.066).

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded to eligible grantees to provide training for staff and leadership personnel of funded projects. The grants may provide support for conferences, seminars, internships, and workshops designed to improve the operation of Special Programs projects,. JOINT FUNDING: This program is considered suitable for joint funding with other closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education, public and nonprofit private agenices and organizations.

**Beneficiary Eligibility:** Leadership personnel and full and part-time staff members of projects under the Special Programs and individuals preparing for employment as staff or leadership personnel in projects under the Special Programs.

**Credentials/Documentation:** Costs will be determined in accordance with the Education Department General Administrative Regulatoions (EDGAR).

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard proposal forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Develop a proposal in accordance with program regulations, application, and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Division of Student Services, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:** Federal staff and selected field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 642.31 and 34 CFR 642.32. Grants are awarded through the Assistance Management and Procurement Services.

**Deadlines:** The Application Notice for new projects should be published in the Federal Register in April or May 1982. The deadline date for new projects is expected to be July, 1982.

**Range of Approval/Disapproval Time:** From 90 to 180 days from the time the application is submitted.

**Appeals:** None.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no matching requirements.

**Length and Time Phasing of Assistance:** One-year grants beginning by September 1982.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Financial and performance reports are submitted on an annual basis.

**Audits:** In accordance with the Education Department Administrative Regulations (EDGAR). (75.702, 74.61).

**Records:** In accordance with EDGAR. (75.730).

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Contracts) FY 81 $761,278; FY 82 est $880,000; FY 83 no funds were requested.

**Range and Average of Financial Assistance:** $97,778 average.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1979, eight proposals were received. Three contracts were awarded to train approximately 2,300 persons in leadership, project management/evaluation, and instructional and counseling techniques for the disadvantged student. In fiscal year 1980, thirteen proposals were received in response to two Requests for Proposals. Two contracts were awarded: (1) to train approximately 400 new Special Programs project personnel and (2) to train approximately 1,000 experienced Special Programs project personnel in curricula design, designing and implementing effective counseling and tutorial components. In fiscal year 1981, ten proposals were received in response to one Request for Proposals. One contract was awarded: (1) to train 400 new Special Programs project directors in project management and implementation; and (2) to provide seminars on retention strategies for 150 experienced Special Services project directors and institutional representatives. In fiscal year 1982, an estimated 945 Special Programs project personnel will receive training under nine grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** EDGAR and regulations 34 CFR 642. An application can be obtained from the Division of Student Services, Office of Postsecondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202. No charge.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Student Services, Office of Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 426-8960. Contact: Richard T. Sonnergren.

**RELATED PROGRAMS:** 84.042, Special Services for Disadvantaged Students; 84.044, Talent Search; 84.047, Upward Bound; 84.066, Educational Opportunity Centers.

**EXAMPLES OF FUNDED PROJECTS:** An initial contract to a university in Georgia to provide training in the areas of leadership, program management, project design and staff development to the staff of 500 Special Program projects (approx. 2,000 persons).

**CRITERIA FOR SELECTING PROPOSALS:** The Secretary will select applicants to be funded for new awards under this part on the basis of criteria set forth in 34 CFR 642.31. (A) The Secretary uses the criteria in this paragraph to evaluate applications for new awards. The maximum score for all of the criteria is 100 points. (a) Plan of operation. (20 points). (i) The Secretary reviews each application for information that shows the quality of the plan of operation for the project. (b) Quality of key personnel. (20 points). (i) The Secretary reviews each application for information that shows the qualifications of key personnel the applicant plans to use on the project. (c) Budget and cost effectiveness. (10 points). (i) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective. (d) Evaluation plan. (10 points). (i) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project. (e) Adequacy of resources. (15 points). (i) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project. (f) Need. (25 points). To determine a need for a Training Program project, the Secretary looks for information that shows (i) The extent to which the proposed training addresses a specific need not addressed by other training projects available to Special Programs personnel; (ii) The extent to which the proposed training addresses a significant training need in the region(s) to be served; and (iii) The extent to which the proposed training addresses needs that are consistent with the priorities established by the Secretary. (B) Past performance. For applicants that have conducted a Training Program project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of 34 CFR 642.32.

## 84.116 FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION

### (The Fund)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** The authorization of The Fund was originally under Section 404 of the General Education Provisions Act (GEPA), enacted as part of the Education Amendments of 1972 (Public Law 92-318) (20 U.S.C. 1221d). Section 404 was repealed by the Education Amendments of 1982 (Public Law 96-374) and under Section 101 of the same legislation, the authority for the Fund was transferred to Title X of the Higher Education Act of 1965, as amended (20 U.S.C. 1135). There was no substantive change to the program under this statute.

**OBJECTIVES:** To provide assistance for innovative programs which improve the access to and the quality of postsecondary education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** The Fund provides project grants for activities sponsored by institutions and agencies which develop and demonstrate more effective approaches to the provision of postsecondary education. Priority is given to activities which relate to: (1) learner-center change: (2) increased cost-effectiveness; and (3) far reaching impact. No restrictions, but low priority is given to requests for student aid construction costs and equipment. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Postsecondary educational institutions and community organizatons, both new and existing.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Recommend contact with the Fund directly. Application forms are furnished by the Fund.

**Application Procedure:** There is a two-stage proposal process: Preliminary proposals are submitted directly to the Fund. These 5 page documents state the problem to be addressed, provide a description of the program, indicate an evaluation format and list a budget. This program is subject to the provisions of OMB Circular No. A-110. Successful preliminary applicants are invited to submit final proposals.

**Award Procedure:** Proposals are reviewed by field readers, by Staff, by the Board of the Fund, by the Director, and by appropriate ED officials as a basis for grants and contracts awarded by the Fund to eligible recipients. State 1202 commissions must be given opportunity to comment on projects funded in their states.

**Deadlines:** December 3, 1982 and March 3, 1983 (projected dates).

**Range of Approval/Disapproval Time:** 1 to 4 months.

**Appeals:** None.

**Renewals:** Applications for renewal of multi-year projects are processed and funded before those for new projects.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Fund suggests that some institutional funds be included as part of program support, but this is not required by legislation or regulation.

**Length and Time Phasing of Assistance:** The Fund plans to support some multi-year projects on a declining fund basis; grants are awarded on a 1-, 2-, and 3-year basis, with phasing of assistance as required. Funds are released as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The Fund will require periodic progress evaluation reports from grant and contract recipients, as well as a final report upon termination of funding.

**Audits:** Compliance with Standard ED Audit Policy.

**Records:** Grant and contract recipients will be required to maintain standard educational and financial records.

**FINANCIAL INFORMATION:**

**Account Identification:** 75-1401-0-1-500.

**Obligations:** (Grants) FY 81 $13,500,000; FY 82 est $11,400,000; and FY 83 est $11,900,000.

**Range and Average of Financial Assistance:** $5,000 to $250,000; $60,000 average for one year.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981 out of 1,700 proposals, the Fund awarded 89 new grants and 111 continuation grants. In fiscal year 1982 out of 2,200 proposals, the Fund expects to awarded approximately 65 new grants and 115 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program Information document dated November 1981-82 and regulations in Federal Register, Press Releases for fiscal years 1973-80 awards. Booklet, which is entitled "Resources for Changes": A Guide to Projects 1981-82, describes all fiscal year 1981 grants and is available free upon request. Program Information and Application Procedures for the 1983 Comprehensive Program should be available in October 1982.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Fund for the Improvement of Postsecondary Education, Office of the Assistant Secretary for Postsecondary Education, 400 Maryland Avenue, S.W., ROB 3, Room 3100, Washington, D.C. 20202. Telephone: (202) 245-8091. Contact: Diana Hayman.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** 1) Improved access for blacks, hispanics and other minorities; 2) better delivery of education to working adults; 3) increased cost-effectiveness, more effective reallocation of financial and human resources; 4) career counseling and training; 5) basic skills development.

**CRITERIA FOR SELECTING PROPOSALS:** 1) It's comparative contribution to the Fund's general criteria (learner-centeredness, far reaching impact, cost-effectiveness); 2) its comparative contribution to the relevant program objectives (such as those outlined in Section II); 3) the extent to which, in meeting these goals, the project represents an improvement upon, or significant departure from existing practice; 4) the extent to which the project involves processes, features, or products applicable in other postsecondary educational settings; 5) the feasibility of its project design, including budget and evaluation plans; 6) evidence of commitment to the proposed activity, including, when appropriate, institutional cost sharing; 7) its potential for continuation after Fund support (unless it is self-terminating); and 8) its appropriateness for Fund support in terms of the availability of other external funding sources for the proposed activities.

## 84.117 EDUCATIONAL RESEARCH AND DEVELOPMENT

**FEDERAL AGENCY:** NATIONAL INSTITUTE OF EDUCATION, OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Section 405 of the General Education Provisions Act, Public Law 92-318, as amended by the Education Amendments of 1974, 1976 and 1978, Public Laws 93-380, 94-482, and 95-561, and the Higher Education Amendments of 1979, Public Law 96-49; 20 U.S.C. 1221e.

**OBJECTIVES:** Through research, development, and dissemination, the Institute seeks to improve the ability of the Nation to meet its responsibilities to provide to each person an equal opportunity to receive an education of high quality regardless of race, color, religion, sex, age, handicap, national origin, or social class. The National Institute of Education is the primary vehicle within the Department of Education for supporting research on critical problems faced by educational institutions, teachers and students. The Institute awards grants it three major program areas: 1) Teaching and Learning program, which supports research to enlarge our understanding of the acquisition of literacy and the characteristics of effective teaching; Dissemination and Improvement of Practice program, which supports research and dissemination to ensure that results of educational research and development are made available in usable forms to educational policymakers, administrators, and practitioners; and the Educational Policy and Organization program, which supports research on issues of law, finance, and organization and management of education.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Research Grants, specialized development grants, and technical assistance will be awarded to support the conduct of educational research and development and the dissemination, utilization, and evaluation of the findings of educational research; capacity building for educational research and development; and research and development implementation programs. "Educational research" includes basic and applied research, planning, surveys, assessments, investigations, experiments, and demonstrations in the field of education (including career education and dissemination). JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Any institution of higher education, public or private for-profit or non-profit agency, organization, group, individual, any combination of these, State, local, intermediate education agency, or international group or agency, and especially minority and women researchers and institutions serving them.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used by State and local governments. Applicants may at times be required to submit a preliminary proposal for review and approval prior to consideration of final applications.

**Application Procedure:** General information on grants competitions for project awards is available from the Public Affairs Office, NIE, Washington, DC 20208. Guidelines for applying are included in the grants announcements prepared by the respective program offices. Notices of closing dates for receipt of applications under grants competitions are published in the FEDERAL REGISTER. Information on applying for unsolicited proposals project awards is available from the Unsolicited Proposals Coordinator, Office of Administration, Management, and Budget, Washington, DC 20208.

**Award Procedure:** Applications are reviewed by the Director after a peer review by staff and nongovernmental experts for the significance of the project's likely contribution toward new knowledge of American education, the likely contribution toward improvement of educational practice, the likely contribution toward enhancing educational equity, the merits of the research plan, the qualifications and record of prior research productivity of the principal investigator and other project staff professionals, and other criteria as may be specified by regulations. Applications selected for funding are subject to final negotiations.

**Deadlines:** In general, deadlines for the receipt of applications to grants announcements are established by the Director and are printed in application notices and program announcements.

**Range of Approval/Disapproval Time:** Variable.

**Appeals:** There is no formal appeals procedure. However, deferral or disapproval of an application will not preclude or prejudice its resubmission and reconsideration.

**Renewals:** Renewals may be considered annually or upon approach of conclusion of funding period. Decisions to renew are based upon systematic review of project operation, plans, and accomplishments, and the availability of program funds. New proposals or continuation applications may be required.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Grant assistance will be provided for varied lengths of time on needs of individual projects; assistance usually is phased in 12-month increments contingent upon availability of funds. Obligations entered into by an awardee shall be liquidated within ninety (90) days following the conclusion of the award period. Payments may be made in advance, according to a predetermined schedule or by way of reimbursement. Letters of Credit may be issued for grant awards of $120,000 or more annually on a continuing basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Performance and financial reports are required at the completion of projects. Requirements for interim progress and financial reports, annual reports, annual program plans, and budget requests may be established, according to program needs. Grantees are held to specific requirements contained in individual grant terms and conditions.

**Audits:** All expenditures by State and local government grantees will be audited by the grantee or at the grantee's direction with reasonable frequency, usually annually but not less often than once every 2 years. Provisions for the auditing of other grantees will be promulgated by the Director as appropriate. The Secretary, ED, the Director of NIE, and the Comptroller General of the U.S., or any of their duly authorized representatives, shall have access for the purposes of audit and examination to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:** Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds, and to the expenditure of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants which are reviewed annually, for 3 years after the date of the submission of the annual expenditure report. Records for non-expendable personal property which was acquired with Federal funds shall be retained for 3 years after its final disposition.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0501-0-1-503.

**Obligations:** (Grants) FY 81 $36,156,000; FY 82 est $25,489,000; and FY 83 est $25,645,000.

**Range and Average of Financial Assistance:** (Grants) $1,500 to $3,900,000. Average amount of financial assistance awards $55,000. Unsolicited Proposals funded: FY 80 504 received; 410 reviewed; 42 funded totalling $2,240,000; Continuations of FY 78 and 79 funded projects in FY 80: 19 awards totalling $1,069,000; FY 81 received; 140 reviewed; 27 funded totalling $1,636,000; continuation of FY 79 and 80 funded projects in FY 81: 17 awards totalling $1,032,000. FY 82 estimates 250 proposals will be received; and approximately 20 will be funded totalling $1,000,000; continuation of $800,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal years 1981, 1982, and projected for 1983, the Institute's activities included and will include the following: The Program on Dissemination and Improvement of Practice provides essential national services which facilitate the use of R & D based knowledge by teachers, administrators, researchers and plolicy makers, and also engages in systematic inquiry into the process of knowledge dissemination and use to improve educational practice. It supports and manages ERIC, the national educational bibiographic data base; assists the states and territories in developing comprehensive dissemination programs; and through the Regional R & D Exchanges, operated by regional educational laboratories and centers, it assists educators in 50 states to share new materials and techniques for improving educational practice. In FY 82 it concludes developmental support for satellite-based telecommunication systems in Alaska and Appalachia, which will be continued by state and regional agencies. Continuing R & D activities include: program studies of regional dissemination and the ERIC system; 8 continuing awards to examine how knowledge is used to support practice improvement in elementary and secondary schools; and 12 continuing awards plus to encourage and study models for increasing the participation of women and minorities in educational R & D. In FY 1981, the Program on Educational Policy and Organization provided technical assistance and research to help state legislatures improve educational finance laws; supported studies and technical assistance for schools, communities, and policymakers to learn more about and improve processes of desegregation and integration; completed Congressionally-mandated evaluation of vocational education programs; studied the way school systems change from junior high school to middle school programs; continued a study to learn more about and find improved ways of selecting and training school principals; conducted a program of research studies on special issues of rural education; provided assistance to state and local policymakers to develop improved educational laws, standards, and policies and to guide their implementation; continued studies to improve the way policies are made and carried out and problems are solved in postsecondary education institutions. Research grants competitions were conducted or are planned as follows: Grants for Research on Organizational Processes in Education--in fiscal year 1980, considered 75 applications and funded 18, totalling $603,878 with $1,132,774 for continuations of previous awards; in fiscal year 1981, $272,614 was awarded for new projects and $830,665 for continuation of previous awards. Grants for Research on Law and Government in Education-in fiscal year 1980, considered 114 applications and funded 12, totalling $423,467 with $163,000 for continuations of previous awards; in fiscal year 1981, $107,615 was awarded for four new projects and $400,943 for continuation of previous awards. Grants for Research on Desegregation--in fiscal year 1980, considered 47 applications and funded 7, totalling $123,000; in fiscal year 1981, $109,362 was awarded for three new projects. Grants for Research on Institutions of Postsecondary Education--in fiscal year 1980, considered 135 applications and funded 4, totalling $85,000; in fiscal year 1981, $172,653 was awarded for seven new projects. For fiscal year 1982, the program on Educational Policy and Organization will not award any new grants. It will, however, award approximately $1.5 million to continue 23 ongoing projects contingent upon availability of funds. The program on Teaching and Learning is concerned with education at all levels--preschool through adulthood--in both formal and informal settings. Teaching and Learning has made substantive contributions to the nation's effort to improve American Education. The program units have investigated the development of learning and thinking skills and the effects of social processes on learning; the development of language and literacy and how they are affected by cultural, technical and social factors, the art of teaching--teacher preparation, the teaching environment and new approaches to instruction; the relationship among educational experiences in different settings (home, community, and work); the assessment, analyses and interpretation of student achievement. Teaching and Learning has supported and will continue to support research about literacy, the nature of good teaching, how children and adults learn, how to measure what is learned and how to improve the substance of what is taught. The program will also provide support for the National Assessment of Educational Progress, a large-scale, national program to assess the performance of children and young adults in areas of reading, math, and writing and the periodic changes in these student's knowledge and skills. Teaching and Learning research grants competitions were awarded as follows: Continuations of grants awarded under the T & L grant competitions prior to FY 80 numbered 19 totaling $761,000; FY 1980 competition -- 72 grants totaling $2,233,000 with 34 grants continuing into FY 81 for $1,605,000 and 12 grants continuing into FY 1982 for $525,000; FY 81 competition -- 36 small grants totaling $518,000, with no outyear costs. Other grants were postponed until early FY 82 as a result of the rescission of funds in FY 81.

**REGULATIONS, GUIDELINES, AND LITERATURE:** As published in 34 CFR Ch. VII, Part 75; 34 CFR Ch. VII, Part 710; 34 CFR Ch. VII, Part 716; 34 CFR Ch. VII; Part 718; 34 CFR Ch. VII, Part 720; and 34 CFR Ch. VII, Part 730. Information concerning guidelines, handbooks, or manuals will be available as they are developed from the Office of Publication Management and Administrative Services, National Institute of Education, Washington, DC 20208, Telephone (202) 254-5800.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** National Institute of Education, 1200 19th Street, N.W., Washington, DC 20208. Telephone: (202) 254-7150. For general information, contact: Olive Covington, Public Affairs Office. For program information, contact: T&L (202) 254-6000, Ned Chalker; EPO (202) 254-5040, Judy Cherrington; and DIP (202) 254-5310, Paul Cawein.

**RELATED PROGRAMS:** 84.003, Bilingual Education; 84.023, Handicapped-Research and Demonstration; 84.083, Women's Educational Equity.

**EXAMPLES OF FUNDED PROJECTS:** Grantee-An institution for higher education. A study to examine factors influencing persistence and achievement in science and health professions by black high-school and college women. The project will survey a few representative high schools and colleges in the Southeast to identify the characteristics and the internal and external social forces which influence black women to continue in or drop out of Sciences. Grantee-An institution for higher education. A study to examine the viability of class climate as a useful construct in secondary schools. The project will perform secondary analysis of data on classroom climate measures, and includes ethnically and racially mixed classes and schools. Grantee-LEA. The project examines a school's use of an innovative reading program four years after its adoption. Grantee-SEA. A project designed to assist a state education agency in strengthening its capacity both to coordinate dissemination within its state and to deliver research and development information to local schools on request. Grantee-An institution for higher education. A study to examine children, their language and world, and their initial encounters with print. The study will map the written language of primary-grade children.

**CRITERIA FOR SELECTING PROPOSALS:** The Director reviews each application to determine the extent to which the proposed project can be expected to make a significant contribution to knowledge leading to the solution of problems and the better definition of issues facing American education; the degree to which the proposed project can be expected to make a likely contribution toward the enhancement of educational equity and improvement of educational practice; the quality of the research plan; the quality of key personnel of the project; budget and cost effectiveness; and adequacy of resources.

## 84.120 MINORITY INSTITUTIONS SCIENCE IMPROVEMENT PROGRAM

## (MISIP)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Section 404A of the General Education Provisions Act, Public Law 96-374, as amended; 20 U.S.C. 1221e-1b.

**OBJECTIVES:** (1) To assist institutions to improve the quality of preparation of their students for graduate work or careers in science. (2) To improve access of undergraduate minority students to careers in the sciences, mathematics and engineering. (3) To improve access for pre-college minority students to careers in science and engineering through community outreach programs conducted through eligible minority colleges and universities. (4) To improve the capability of minority institutions for self-assessment, management and evaluation of their science programs and dissemination of their results.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Grant funds may be used for paying costs necessary for improving and maintaining quality science education programs in minority institutions, such as salaries and wages, expendable equipment and supplies, travel, faculty development, other direct costs and indirect costs.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions eligible to submit proposals to the Minority Institutions Science Improvement Program are private and public accredited 2-and 4-year institutions of higher education whose enrollment are predominantly (50 percent or more) American Indian; Alaskan Native; Black, not of Hispanic origin; Hispanic (including persons or Mexican, Puerto Rican; Cuban, and Central or South American origin); Pacific Islander or any combination of these or other disadvantaged ethnic minorities who are underrepresented in science and engineering. Proposals may also be submitted by non-profit science-oriented organizations, professional scientific societies, and all non-profit accredited colleges and universities which will render a needed service to a group of MISIP eligible institutions or provide in-service training for project directors, scientists and engineers from eligible minority institutions.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Institutions must provide the information necessary to establish their eligibility for participation in MISIP. The data on enrollment furnished to the Office for Civil Rights, to satisfy requirements for the "Fall Enrollment and Compliance Report of Institutions of Higher Education" (HEGISXIII: OE Form 2300-2.3) are acceptable. Proposals must be signed by the project director(s), the relevant department head(s), and by an official authorized to commit the institutions in business and fiscal affairs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** By submission of a formal proposal describing the planned project and proposed amount of the grant. See CFR Part 637 and the specific program guidelines. Application forms are provided by MISIP. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** MISIP staff members review and evaluate all proposals, generally with the advice of scientists and other individuals connected with the fields covered by the proposal. Proposals are accepted in order of merit to the extent permitted by the funds available.

**Deadlines:** December 3, 1982 for institutional, cooperative and design grant proposals. March 4, 1983 for special project proposals. (Projected deadlines)

**Range of Approval/Disapproval Time:** Three to six months.

**Appeals:** The project director may request, in writing, that the program reconsider its action in declining any proposal application.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The program suggests that some institutional contribution be included as part of program support, however, this program has no matching requirements.

**Length and Time Phasing of Assistance:** One to three years. Funds are disbursed as required.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** The program requires interim reports from directors of projects having duration of more than 1 year at the end of each academic year's activities. A substantive technical report is required upon completion of the project for all funded projects.

**Audits:** Compliance with standard Department of Education Audit Policy.

**Records:** Grantees are required to maintain standard educational and financial records. Records are subject to inspection during the life of the grant and for five years thereafter.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $5,000,000; FY 82 est $4,400,000; and FY 83 est $3,300,000.

**Range and Average of Financial Assistance:** $15,000 to $300,000; $150,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1980, 120 proposals were received and 39 awards were made. In fiscal year 1982, approximately 180 proposals and 33 awards are anticipated. In fiscal year 1983, approximately 150 proposals and 24 awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations in Federal Register; press releases for fiscal years 1972-1981, guidelines for preparation of proposals and operation of projects are available, at no cost, from the program. Fiscal year 1983 MISIP guidelines will be published by September 1, 1982. Proposal Development Kits prepared by MISIP staff are available from the program (no charge).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Minority Institutions Science Improvement, FII SE, Office of Assistant Secretary for Postsecondary Education, Department of Education, Washington, DC 20202. Telephone: (202) 472-9300. Contact: Argelia Velez-Rodriguez.

**RELATED PROGRAMS:** 47.009, Scientific Personnel Improvement; 84.031, Higher Education—Strengthening Developing Institutions; 84.116, Fund for the Improvement of Postsecondary Education.

**EXAMPLES OF FUNDED PROJECTS:** A project is supporting activities over a two-year period to develop a laboratory in inner cell culture technology using "State of the art" techniques with advanced instrumentation. A cooperative project is supporting five institutions to develop a microcomputer network which can be used by students on a shared basis at their own institutions, in addition, this project will disseminate information about the educational uses of microcomputer to other institutions. One project is assisting an American Indian community college in developing a comprehensive mathematics and science program by incorporating computer based instruction into the curriculum over a 36-month period. A project is supporting a university to strengthen its Behavorial Science Division through implementation of quantitative teaching methods and analytical techniques in existing courses. In fiscal year 1981, support was provided to a major professional scientific society to conduct a Visiting Science Consultant Program for minority institutions. Through this program consultants will be available for three to five day visits with travel costs and honoraria supported by the grant.

**CRITERIA FOR SELECTING PROPOSALS:** Decisions are based primarily on the scientific and educational merits of described activities and conformance with the objectives of the program. In the case of proposals of substantially equal merit, priority is given to applicants which have not previously received funding from the program and to previous grantees with a proven record of success; geographic region, academic discipline and project type are additional decision criteria.

## 84.121 VOCATIONAL EDUCATION—STATE PLANNING AND EVALUATION

### (102(d) Grant)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Vocational Education Act of 1963, as amended by Title II, Education Amendments of 1976, Public Law 94-482 and by the Technical Amendments of 1977, Public Law 95-40; 20 U.S.C. 2301-2461; 90 Stat. 2168-2213.

**OBJECTIVES:** To assist the states in fulfilling Federally mandated planning and evaluation requirements by providing a special allocation to each which does not have to be matched by state and/or local funds.

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** To be used by state agencies in preparing five-year plans under section 107, annual program plans and accountability reports (including the collection of necessary data) required under section 108; and, in conducting the evaluations required by section 112 of the Act. May be used by a state agency for subgrants and contracts, for these purposes; does not require any state/local match.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State Boards for Vocational Education.

**Beneficiary Eligibility:** Primary and usual beneficiary is the State Vocational Education Agency; however, subgrants to eligible recipients (as defined in the Act) and contracts with those organizations as permitted under state law, are allowable.

**Credentials/Documentation:** Establishment of a State Advisory Council and certification of the five-year plan, annual program, and accountability report by the State Board for Vocational Education and by Governor or designated plan review agencies according to Part III, Attachment A, of OMB Circular No. A-95 (revised). Costs are determined in accordance with OMB Circular No. A-87 for state and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Five-year plan, annual program plan, and accountability report prepared with participation of representatives of 10 agencies, councils, and individuals; and in consultation with the State Advisory Council. Plans and report are subject to public hearings. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Submission of five-year plan, annual program plan, and accountability report to Assistant Secretary for Vocational and Adult Education, Department of Education; must also be supplemented by submission of VEDS data to NCES and Annual Compliance Report to OCR.

**Award Procedure:** Assistant Secretary for Vocational and Adult Education approves five-year plan, annual program plan, and accountability report; NCES and OVAE jointly approve VEDS submission; and, OCR approves annual compliance report. When funds become available, the Assistant Secretary transmits formal notification of grant award to the State Board and to designated State Central Information Agency in accordance with Treasury Circular 1082.

**Deadlines:** July 1.

**Range of Approval/Disapproval Time:** Approximately 30-120 days.

**Appeals:** A State Board for Vocational Education which is dissatisfied with the final action of the Assistant Secretary in disapproving its application is afforded reasonable notice and opportunity for a hearing. If still dissatisfied, it may appeal to the appropriate United States Court of Appeals.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** States funded under regular formula; however, in expending or otherwise disbursing these section 102(d) funds, the state is not required to use the distribution method required for other parts of the Act; nor are these funds required to be matched in any way.

**Length and Time Phasing of Assistance:** Fiscal year. Funds appropriated during any fiscal year which are not obligated or expended prior to the beginning of the next fiscal year, shall remain available for obligation and expenditure during the succeeding fiscal year. States draw funds as needed under a Letter of Credit.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Accountability Reports, VEDS reports, and OCR Annual Compliance Reports; continuous evaluation (each program once each five years) by State Board and annual evaluation by State Advisory Council.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:** See ED General Administrative Regulations, 34 CFR 76.730-734.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0400-0-1-501.

**Obligations:** (Grants) FY 81 $3,738,000; FY 82 est $3,588,000; FY 83 est This program is proposed for funding as part of a consolidated Block Grant Program. (Note: Year of appropriation shown; States use funds in following year.)

**Range and Average of Financial Assistance:** $1,131 to $329,617; $66,000. (FY 1981 figures).

**PROGRAM ACCOMPLISHMENTS:** All states and other jurisdictions fully used allocated Section 102(d) funds for mandated purposes.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Public Law 94-482, Title II, Rules and Regulations, Title 34 CFR, Part 400; EDGAR, Part 76, Part 74 and Appendix C; OCR Guidelines for Vocational Education.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV for a list of the addresses of ED Regional Offices.

**Headquarters Office:** Division of State Vocational Programs, Office of Assistant Secretary for Vocational and Adult Education, Department of Education, Washington, DC 20202. Telephone: (202) 472-3440. Contact: LeRoy A. Cornelsen.

**RELATED PROGRAMS:** 84.048, Vocational Education—Basic Grants to States; 84.049, Vocational Education—Consumer and Homemaking Education; 84.050, Vocational Education—Program Improvement and Supportive Services; 84.052, Vocational Education—Special Programs for the Disadvantaged.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.124 TERRITORIAL TEACHER TRAINING ASSISTANCE PROGRAM

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Title XV, Part C, Section 1525 of the Education Amendments of 1978; Public Law 95-561.

**OBJECTIVES:** To provide assistance for the training of teachers in schools in Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the Virgin Islands.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** A project funded under this program provides for the training of teachers in public and nonprofit private schools in the five territorial jurisdictions. Activities eligible for funding may include, but are not limited to (a) in-service teacher training; (b) curriculum development; (c) use of instructional materials or equipment; (d) classroom management; and (e) training for teachers to achieve full certification under the appropriate territorial requirements. Training to nonindigenous contract teachers is restricted to training which will be necessary for teaching in the territory. All teacher training must be completed within the territorial limits.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The State educational agency (SEA) of each territory, or a joint application from an SEA and an institution of higher education with the SEA as the lead agency of the grant.

**Beneficiary Eligibility:** Teachers, students and other education professionals.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87, for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Only continuation applications will be considered in this fiscal year. Existing grantees will be informed of procedures by the program office. Proposals must be prepared and submitted in accordance with program announcements. Applications must address all requirements in regulations of the program.

**Award Procedure:** The Department of Education makes final approval of applications and establishes the dollar amount awarded with the advice and assistance of a panel of reviewers.

**Deadlines:** Only continuation applications will be accepted this fiscal year. Proposals will be due in late June. Contact the headquarters office.

**Range of Approval/Disapproval Time:** 28 weeks maximum.

**Appeals:** None.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Each of the five eligible grantees must receive at least 5 percent of the appropriated funds.

**Length and Time Phasing of Assistance:** One year grants to be implemented between October 1, 1982 and September 30, 1983.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Performance and final status reports as required by the grant agreement.

**Audits:** Periodically conducted by Department of Education auditors.

**Records:** All basic fiscal or other records relating to receipt and expenditure of the Federal grant must be maintained by the grantee and be accessible for 5 years or until notified of completion of Secretary's audit.

FINANCIAL INFORMATION:

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $1,800,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** The anticipated range of assistance for grants is between $100,000 and $1,000,000.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1981, the program continued funding of five projects for the training of teachers in the territories.

REGULATIONS, GUIDELINES, AND LITERATURE: The NPRM was published in the Federal Register Vol. 45, No. 69, April 8, 1980.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Office of the Deputy Assistant Secretary of Educational Professional Development and Dissemination, Office of Assistant Secretary for Educational Research and Improvement, Department of Education, Washington, DC 20202. Contact: Andrew Lebby. Telephone: (202) 653-5839.

RELATED PROGRAMS: None.

EXAMPLES OF FUNDED PROJECTS: This is a new program. There are no examples available.

CRITERIA FOR SELECTING PROPOSALS: Assessment of the need statement, proposed budget and action plan will be completed. Determination will then be made on the total dollar amount for the grant to each territory.

## 84.125 CLEARINGHOUSE ON THE HANDICAPPED

FEDERAL AGENCY: OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

AUTHORIZATION: Rehabilitation Act of 1973, Public Law 93-112; Title IV, Section 405, established February 20, 1974, Rehabilitation Act Amendments of 1974, Public Law 93-516, Title I, Section 109, December 7, 1974. Rehabilitation, Comprehensive Services, and Developmental Disabilities Amendment of 1978, Public Law 95-602, Section 15, November 6, 1978, Omnibus Budget Reconciliation Act of 1981, Section 604 (c).

OBJECTIVES: Provide information and data regarding (1) the location, provision, and availability of services and programs for handicapped individuals, (2) research and recent medical and scientific developments bearing on handicapping conditions (and their prevention, amelioration, causes, and cures), and (3) the current numbers of handicapped individuals and their needs.

TYPES OF ASSISTANCE: Advisory Services and Counseling; Dissemination of Technical Information.

USES AND USE RESTRICTIONS: Not applicable.

ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Information is available to all interested persons and organizations upon request.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Not applicable.

APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable.

POST ASSISTANCE REQUIREMENTS:

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

FINANCIAL INFORMATION:

**Account Identification:** 91-0301-0-1-506.

**Obligations:** FY 81 $10,500; FY 82 est $30,000; and FY 83 This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** Not applicable.

PROGRAM ACCOMPLISHMENTS: The Clearinghouse collects and analyzes data on a wide range of topics relating to disabilities. In addition, the Clearinghouse serves as a resource to organizations that supply information relating to various handicapping conditions and has developed brokerage capacities to direct inquiries to appropriate Federal and national private resources. Special emphasis is placed on information on national information resources serving the handicapped and service providers, Federal assistance to programs serving the handicapped, Federal legislation and regulations affecting the handicapped.

REGULATIONS, GUIDELINES, AND LITERATURE: Publications are made available to the pubic on request. Single copies are free. Some of the publications are also for sale by the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

INFORMATION CONTACTS:

**Regional or Local Office:** None.

**Headquarters Office:** Office of Information and Resources for the Handicapped, Deputy Assistant Secretary for External Affairs, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education. Contact Clearinghouse on the Handicapped: Dr. Helga Roth, Telephone: (202) 245-0082.

RELATED PROGRAMS: 13.243, Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education; 39.008, Federal Information Center.

EXAMPLES OF FUNDED PROJECTS: Not applicable.

CRITERIA FOR SELECTING PROPOSALS: Not applicable.

## 84.126 REHABILITATION SERVICES—BASIC SUPPORT

### (Basic Support)

FEDERAL AGENCY: OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

AUTHORIZATION: Rehabilitation Act of 1973; Public Law 93-112 as amended by Public Laws 93-516, 94-230, and 95-602; 29 U.S.C. 701, Title I.

OBJECTIVES: To provide vocational rehabilitation services to persons with mental and/or physical handicaps. Priority service is placed on needs of those persons with the most severe disabilities.

TYPES OF ASSISTANCE: Formula Grants.

USES AND USE RESTRICTIONS: Federal and State funds are used to cover the costs of providing rehabilitation services which include: diagnosis, comprehensive evaluation, counseling; training, reader services for the blind, interpreter services for the deaf, and employment placement. Also assist with payment for medical and related services and prosthetic and orthotic devices, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, tools, licenses, equipment, supplies, and other goods and services; vending stands for handicapped persons including management and supervisory services; and assistance in the construction and establishment of rehabilitation facilities. Services are provided to families of handicapped individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided vocational rehabilitation services. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State agencies designated as the sole State agency to administer the vocational rehabilitation program.

**Beneficiary Eligibility:** Eligibility for vocational rehabilitation services is based on the presence of a physical and/or mental disability, which for such individual constitutes or results in a substantial handicap to employment, and a vocational rehabilitation service may reasonably be expected to benefit the individual in terms of employability.

**Credentials/Documentation:** Governors or their designated Plan review agencies must be given an opportunity to review the State Plan pursuant to Part III, Attachment A of OMB Circular No. A-95 (revised). The State agency must certify the availability of State funds for matching purposes. Costs will be determined in accordance with OMB Circulars No. A-87 and 102 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part 1, Attachment A of OMB Circular No. A-95 (revised). A copy of the initial application for construction of facilities will be transmitted to the appropriate State clearinghouse and metropolitan or regional clearinghouse. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** (Applicants prepare 3-year State plans for vocational rehabilitation services (meeting Federal requirements established under the Rehabilitation Act of 1973, as amended) effective Oct. 1, 1982 and covering FYs 1983-85.) Vocational rehabilitation agencies submit project proposals to the appropriate ED Regional office.

**Award Procedure:** Notice of annual allotment to the State; quarterly grant award notices and funds are withdrawn under the Letter of Credit. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Three-year State plans for vocational rehabilitation services are submitted to the RSA Regional Program Offices for approval not later than July 1, of the third year of each 3-year cycle, commencing July 1, 1979.

**Range of Approval/Disapproval Time:** None specified.

**Appeals:** No formal procedures.

**Renewals:** Continuing formula grant program.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Federal funds are distributed based on population weighted by per capita income squared. The statistical factors for fund allocation are: 1. the per capita income three year average by State and the source is the Survey of Current Business, Bureau of Economic Analysis; 2. the U.S. total population and State population and the source is the Population Estimates Annual, Bureau of the Census; and 3. the Consumer Price Index (applies to authorization), Bureau of Labor Statistics. Statistical factors used for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:** Annually.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual and quarterly progress reports; annual budget and case service reports; and annual program and financial plan.

**Audits:** Conducted by ED Audit Agency and by site visits of regional staff. Both are periodic but no set schedule. State audits are made in accordance with OMB Circular A-102, Attachment "P".

**Records:** Case records on individual clients; fiscal records for a prescribed period for audit purposes.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0301-0-1-506.

**Obligations:** (Grants) FY 81 $854,259,000; FY 82 $771,900,000; and FY 83 This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** $3,000,000 to $64,318,367; $17,080,000.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,490,000 persons were served and 234,641 were rehabilitated. It is estimated that 1,253,000 persons will receive services in fiscal year 1981, and 202,000 persons will be rehabilited. Estimates for fiscal year 1983 are 900,000 persons served and 138,000 rehabilitated.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Vocational Rehabilitation Regulations (34 CFR Part 361, 362). Vocational Rehabilitation Manual. Programs-Rehabilitation Services Administration.

**INFORMATION CONTACTS:**

**Regional or Local Office:** ED Regional Office (see Appendix IV of the Catalog for list of regional offices).

**Headquarters Office:** Office of Program Operations, Rehabilitation Services Administration, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202. Telephone: (202) 245-0530. Contact: Allan Claybrook, Telephone: (202) 245-0546.

**RELATED PROGRAMS:** 13.808, Assistance Payments—Maintenance Assistance; 53.001, Handicapped Employment Promotion; 64.007, Blind Veterans Rehabilitation Centers; 64.013, Veterans Prosthetic Appliances; 64.116, Vocational Rehabilitation for Disabled Veterans; 84.078, Regional Education Programs for Deaf and Other Handicapped Persons; 84.128, Rehabilitation Services—Special Projects.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.128 REHABILITATION SERVICES—SPECIAL PROJECTS

### (Rehabilitation Services Projects)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Rehabilitation Act of 1973, Public Law 93-112, as amended by Public Laws 93-516, 94-230, and 95-602 Sections 112, 130, 311(a)(1), 312, 316 and 621, 29 U.S.C. 701.

**OBJECTIVES:** To provide funds to State vocational rehabilitation agencies and public nonprofit organizations for projects and demonstrations which hold promise of expanding and otherwise improving services for the mentally and physically handicapped over and above those provided by the Basic Support Program administered by states.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Client assistance, American Indians, projects with industry, severely disabled, and migrant workers and recreational services. Grants must substantially contribute to solution of vocational rehabilitation problems common to the total physically and mentally handicapped population. For example: Projects to prepare handicapped individuals for gainful employment in the competitive labor market; payment to cover cost of establishing programs to expand or improve rehabilitation services for the severly handicapped. JOINT FUNDING: This program is considered suitable for joint funding with other closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Projects with industry-employers and other organizations, and all other public or private nonprofit institutions or organizations. Grants cannot be made directly to individuals. Client assistance projects and migrant farm worker projects are funded by grants to State rehabilitation agencies only. American Indian services for governing bodies of Indian tribes only. Other categories -- States and public and nonprofit agencies and organizations.

**Beneficiary Eligibility:** Physically, and mentally, or emotionally handicapped persons, with emphasis on those with the most severe disabilities.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms (SF 424) as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to State and areawide clearinghouses review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** Applications should be submitted to RSA Regional Commissioner, Department of Education, OSERS for project grants or, in certain cases to: Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202. This program is subject to the provisions of OMB Circular Nos. A-110 and A-102.

**Award Procedure:** Awards are made on approval of the Director of Rehabilitation Services in the Regional office or the Commissioner of Rehabilitation Services for Central office grants. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadline dates for the receipt of grant applications are published in the Federal Register.

**Range of Approval/Disapproval Time:** 45 to 60 days.

**Appeals:** No formal procedures.

**Renewals:** Project may be continued based on annual review of accomplishments. Renewals are available only through the regular new application process.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Matching rate is determined by the type of project funded. Projects with industry require 20 percent matching.

**Length and Time Phasing of Assistance:** Project support varies from a maximum of 3 to 5 years depending upon the grant program.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual fiscal reports are required, and progress reports must be submitted as prescribed by grant award specification.

**Audits:** Audits are made by ED audit agency.

**Records:** Fiscal records must be maintained for the periods of time specified in the grants award.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0301-0-1-506.

**Obligations:** (Grants) FY 81 $24,610,000; FY 82 est $20,757,000; and FY 83 This program is proposed for funding as part of a consolidated Block Grant Program. NOTE: The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.

**Range and Average of Financial Assistance:** Variable.

**PROGRAM ACCOMPLISHMENTS:** Rehabilitation services projects because they support basic State grant programs are essential to the overall program accomplishment of the rehabilitation services and facilities programs. Estimates for fiscal year 1981 indicate that 1,600,000 persons received services and approximately 270,000 persons were rehabilitated. In 1981, 200 projects were supported under the Rehabilitation Services Projects categories.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations: 34 CFR Parts 369-379, January 19, 1981. Specific guidelines and literature may be obtained from the RSA Regional Offices or the headquarters offices.

**INFORMATION CONTACTS:**

**Regional or Local Office:** State Vocational Rehabilitation Offices or the RSA Regional Offices (see Appendix IV for list of regional offices).

**Headquarters Office:** Division of Special Projects, Rehabilitation Services Administration, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202. Telephone: (202) 245-0079. Contact: Harold Shay.

**RELATED PROGRAMS:** 84.126, Rehabilitation Services—Basic Support.

**EXAMPLES OF FUNDED PROJECTS:** An outreach effort to identify and provide necessary vocational rehabilitation services for disabled migratory and seasonal agricultural workers. Assist severely disabled persons returning to the community from institutions for the mentally ill to achieve the optimal vocational adjustment of which they are capable. Provide ombudsman type assistance for disabled persons to help resolve issues on problems interfering with their attempts to complete a program of vocational rehabilitation. Implement a program of training and job placement for disabled persons through a cooperative arrangement among a rehabilitation facility, private industry, and a State rehabilitation agency. Provide comprehensive services for blind people, to assist them in living independently and in obtaining remunerative employment to the extent possible.

**CRITERIA FOR SELECTING PROPOSALS:** Special projects for Severely Disabled People must expand and improve rehabilitation services for a single category of disability, the target populations for each year being announced in Federal Register. Grants for Client Assistance projects and for Migrants-Seasonal Farm Workers projects are made only to State rehabilitation agencies. Disabled people served by Projects with Industry are expected to be clients of the State rehabilitation agency and the projects must provide supportive rehabilitation services in addition to vocational training in a realistic work setting leading to competitive employment. General, applications for discretionary grants of this kind must be subjected to Peer Review procedures leading to recommendations for approval or disapproval by non-Federal experts in the area of the project proposal.

## 84.129 REHABILITATION TRAINING

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Rehabilitation Act of 1973, Sections 12 and 304, Public Law 93-112; as amended by Public Law 93-516, Public Law 94-230; Public Law 95-602; 29 U.S.C. 701.

**OBJECTIVES:** To support projects to increase the numbers of personnel trained in providing vocational rehabilitation services to handicapped individuals.

**TYPES OF ASSISTANCE:** Project Grants (Contracts).

**USES AND USE RESTRICTIONS:** Training grants are provided only in fields directly related to the vocational rehabilitation of the physically and mentally disabled, such as Rehabilitation Counseling, Rehabilitation Medicine, Physical and Occupational Therapy, Prosthetics-Orthotics, Speech Pathology and Audiology, Rehabilitation of the Blind and the Deaf. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State vocational rehabilitation agencies, and other public or nonprofit agencies and organizations, including institutions of higher education.

**Beneficiary Eligibility:** Individuals preparing for employment in the rehabilitation of the physically and mentally disabled.

**Credentials/Documentation:** Educational institutions receiving grants must be accredited. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application form (424) as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application is made to appropriate Regional Office (listed in Appendix IV), or in the case of projects of unusual National scope, to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-2304. Attention: 84.129. This program is subject to the provisions of OMB Circular Nos. A-110, and A-102.

**Award Procedure:** Continuation grants are awarded by the Rehabilitation Services Administration Regional Office. New grants and continuation grants for projects of unusual National Scope are awarded by the Commissioner, Rehabilitations Services Administration (RSA). Notification of awards to State and local governments must be made to State Central Information Reception Agency in accordance with Treasury Circular 1082. All new applications are reviewed by a panel of at least three individuals. Each panel will include one or more non-Federal consultants with experience and training in the related field.

**Deadlines:** Deadlines for new applications are established in the "Federal Register" each year.

**Range of Approval/Disapproval Time:** 12 to 16 weeks.

**Appeals:** No formal appeal procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval.

**Renewals:** Competing continuations are available only through the new application process. Projects with an approved multi-year project period may be continued based on an annual review of accomplishments. Continuation applications are due within 90 days of the starting date.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantees are required to share in the costs of projects with the proportion subject to individual negotiation. For State agency in-service training grants, State matching must be at least 10 percent of the total costs of the project.

**Length and Time Phasing of Assistance:** Projects may extend for a maximum of 5 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual progress and fiscal reports are made to RSA. All fiscal reports are mailed to RSA. Periodic reports are made on employment and status of trainees.

**Audits:** Federal audit after program has been ongoing 1 year.

**Records:** Proper accounting records must be maintained for 3 years subsequent to audit and until all questions are resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0301-0-1-506.

**Obligations:** (Grants) FY 81 $21,594,071; FY 82 est $19,140,000; and FY 83 This program is proposed for funding as part of a consolidated Block Grant Program. Funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.

**Range and Average of Financial Assistance:** $5,000 to $200,000; $20,000.

**PROGRAM ACCOMPLISHMENTS:** Approximately 6,240 persons were assisted under the program during the 1981-1982 academic year.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Parts 385-390.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Rehabilitation Services Administration Regional Offices(See Appendix IV for list of addresses).

**Headquarters Office:** Division of Resource Development, Rehabilitation Services Administration, Office of Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202. Telephone: (202) 245-0075. Contact: Martin W. Spickler, Ph.D.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Residency traineeships in physical medicine and rehabilitation. Teaching and graduate traineeships in rehabilitation counseling. Teaching and non-academic traineeships in rehabilitation. Facility administration - rehabilitation continuing education program. Teaching grants under the Experimental and Innovative Training Program to develop new and improved methods of training rehabilitation personnel.

**CRITERIA FOR SELECTING PROPOSALS:** The relevance of the purpose of the content and the training project to the administratively established mission of the public rehabilitation program and the objectives of the Rehabilitation Services Administration. The methodology to be employed in implementing the project and its feasibility for the achievement of the established educational objectives. The existence of a working relationship with the State vocational rehabilitation agency and other agencies and rehabilitation facilities providing vocational rehabilitation services.

## 84.132 CENTERS FOR INDEPENDENT LIVING

**FEDERAL AGENCY: OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION**

**AUTHORIZATION:** Rehabilitation Act of 1973; Public Law 93-112 as amended by Public Law 95-602; Title VII, Part B, 29 U.S.C. 796e.

**OBJECTIVES:** To provide independent living services to severely handicapped individuals in order for them to function more independently in family and community settings or secure and maintain appropriate employment.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Federal funds are used for the establishment and operation of independent living centers which shall offer a combination of services. Among the services are referrals regarding attendant care, provision of attendant care, training in independent living skills, referral and assistance in housing and transportation, peer counseling, and advocacy. Handicapped individuals shall be substantially involved in policy direction and management and will be employed by centers established under this authority.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** The principal eligible applicant is the State vocational rehabilitation agency; however, if a State agency fails to apply for a grant within six months after they are available, then any local public or private nonprofit agency may apply directly.

**Beneficiary Eligibility:** Handicapped individuals who have such severe disabilities they cannot attain maximum independence in home or community, or where appropriate secure and maintain employment, who are in need of and can benefit from independent living services.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State clearinghouse review pursuant to procedures in Part I, Attachment A of OMB Circular No. A-95 (revised).

**Application Procedure:** State vocational rehabilitation agency applications and applications from other eligible agencies should be submitted to the Department of Education, Application Control Center, 400 Maryland Ave., SW., Washington, DC 20202-3561. Attention: 84.132.

**Award Procedure:** Awards are made on approval of the Commissioner of Rehabilitation Services Administration. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** Deadline for FY 1982 new applications is June 4, 1982.

**Range of Approval/Disapproval Time:** 45 to 60 days.

**Appeals:** No formal procedures.

**Renewals:** Project period can be up to five years but the maximum approved to date is 36 months. Project may be continued based on annual review of accomplishments, submittal of a continuation application, and the availability of funds. Renewals are available through the regular new application process.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching requirements.

**Length and Time Phasing of Assistance:** Funds are granted on a 12-month basis.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual fiscal reports are required and progress reports must be submitted as prescribed by grant award specification.

**Audits:** Audits are made by ED audit agency.

**Records:** Fiscal records must be maintained for the periods of time specified in the grant award.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0301-0-1-506.

**Obligations:** (Grants) FY 81 $17,994,936; FY 82 est $17,280,000; FY 83 This program is proposed for funding as part of a consolidated Block Grant Program.

**Range and Average of Financial Assistance:** Average Grant $150,000 - $200,000.

**PROGRAM ACCOMPLISHMENTS:** For fiscal year 1981, $18,000,000 as appropriated for Centers for Independent Living under Part B, Title VII of the Rehabilitation Act of 1973, as amended. Of the new applications received during fiscal year 1981, 21 were approved for funding. In addition, 59 previously approved projects were continued. It is estimated that during fiscal year 1982, 10-12 new projects will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Vocational Rehabilitation Regulations (34 CFR, Part 366).

**INFORMATION CONTACTS:**

**Regional or Local Office:** Appropriate Regional Rehabilitation Services Offices (see Appendix IV for list of regional offices).

**Headquarters Office:** Independent Living Projects Branch, Rehabilitation Services Administration, OSERS, Department of Education, Room 3216 Switzer Bldg., 400 Maryland Ave., S.W., Washington, DC 20202-2304. Telephone: (202) 245-0163. Contact: Elizabeth A. Arroyo.

**RELATED PROGRAMS:** 84.126, Rehabilitation Services—Basic Support.

**EXAMPLES OF FUNDED PROJECTS:** In a majority of the 79 projects funded during fiscal year 1981, the State vocational rehabilitation agencies contracted with consumer based nonprofit organizations in the State to establish and operate Independent Living Centers. Sixteen project proposals submitted to the Rehabilitation Services Administration directly by consumer based nonprofit organizations also have been funded. Services provided will vary from one center to another. Examples of services provided include: intake counseling; referral and counseling in attendant care; counseling and advocacy services for legal and economic rights and benefits; independent living skills services; housing and transportation referral and assistance; health maintenance programs; peer counseling; and attendant care and training of personnel to provide such services.

**CRITERIA FOR SELECTING PROPOSALS:** Emphasis will be placed on project applications which propose to serve all disabilities, including individuals whose disability may limit access to knowledge of the availability of services. Emphasis also is placed on proposals which will provide outreach to minority severely handicapped individuals. Additional criteria include methodology and feasibility of achieving the objectives of the project; evidence that the center will utilize all presently available services and the extent to which services will be provided to severely handicapped individuals; evidence of substantial involvement of severely handicapped individuals in policy direction and management as well as the employment of severely handicapped individuals by the center; personnel and facility resources appear adequate to carry out the goals and objectives of the project; there is an effective evaluation plan, and cost of the project to the government is reasonable.

## 84.133 NATIONAL INSTITUTE OF HANDICAPPED RESEARCH

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Rehabilitation Act of 1973, Public Law 93-112, Title II, as amended by Public Law 95-602.

**OBJECTIVES:** To support research and its utilization to improve the lives of people of all ages with physical and mental handicaps, especially the severely disabled through: (1) identifying and eliminating causes and consequences of disablity; (2) maximizing the healthy physical and emotional status of handicapped persons, their functional ability, self-sufficiency, self-development and personal autonomy; (3) preventing or minimizing personal and family, physical, mental, social, educational, vocational and economic effects of disability; and (4) reducing and eliminating physical, social, educational, vocational and environmental barriers to permit access to service and assistance and to use their abilities in daily life.

**TYPES OF ASSISTANCE:** Project Grants (Contracts); Cooperative Agreements.

**USES AND USE RESTRICTIONS:** Grants, cooperative agreements, and contracts are awarded for innovative research and demonstrations of national significance that are responsive to general policies established by the National Council on the Handicapped and to the long-range research plan developed by the Director of the Institute in response to Section 202(g) of the Act (Public Law 93-112, as amended). All applications must meet standards of excellence in research or evaluation design. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved. Section 204(7) authorizes joint projects with the National Institutes of Health, the Health Services Administration, the Administration on Aging, the National Science Foundation, the Veterans Administration, the Department of Education, the National Aeronautics and Space Administration, other Federal agencies, and private industry in areas of joint interest involving rehabilitation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Grants and cooperative agreements may be made to and contracts with States, public, private, or nonprofit agencies and organizations, including institutions of higher education for research projects and specialized research activities.

**Beneficiary Eligibility:** All mentally and physically handicapped persons.

**Credentials/Documentation:** Applicants should present written evidence of other agencies willingness to cooperate when the project involves their acceptance or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Nonprofit organizations must show proof of such status.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The NIHR long-range research plan as required by Congress is the basis for program announcements that are published in the Federal Register and Request for Proposals that are published in the Commerce Business Daily. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms are submitted to: Director, NIHR, Application Control Center, Department of Education, 400

Maryland Ave. S.W., Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110. The standard application forms as furnished by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** Official notice of approved applications is made through issuance of a Notice of Grant Award. Grants are awarded by the Director, National Institute of Handicapped Research.

**Deadlines:** Established when grant and contracts are solicited by Program Announcements and Requests for Proposals. Announcements may be published throughout the year. Interested parties should write to the National Institute of Handicapped Research, Department of Education, Switzer Office Building 3511, Washington, DC 20202 to be placed on a mailing list. The Federal Register program announcement will be mailed to interested parties when published.

**Range of Approval/Disapproval Time:** Ranges from 30 to 365 days. Generally, solicited grant and contracts will be acted upon within 90 days.

**Appeals:** No formal appeal procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:** Extensions and renewals are available if formally applied for and approved. Renewals must compete with new applications on the basis of program relevance as well as standard requirements for excellence in design. If an application is recommended for approval for two or more years the grantee or contractor must submit each year a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Grantees funded under 204(a) (93-112 as amended) are required to share in the cost of projects. The amount of cost sharing is negotiable. Cost sharing for other grantees is optional.

**Length and Time Phasing of Assistance:** Funds are granted on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Projects may be extended for a maximum of five years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual reports of progress and annual expenditures are required on all projects. Comprehensive final reports are due 90 days after the end of the project.

**Audits:** All fiscal transactions identifiable to Federal financial assistance are subject to audit by ED Audit Agency.

**Records:** Proper accounting records, identifiable by grant or contract number and including all receipts and expenditures, must be maintained for three years. Subsequent to audit they must be maintained until all questions are resolved.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0301-0-1-506.

**Obligations:** (Grants) FY 81 $29,750,000; FY 82 $28,560,000; and FY 83 est $26,491,000. The funds in this program are also available for program contracts. The amounts which can be used for such contracts cannot be predetermined.

**Range and Average of Financial Assistance:** Grants and contracts range from $10,000 to $1,500,000. Individual project grants average about $150,000 a year. However, these figures vary with type of program.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 70 projects were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Program and Grants Administration policies may be obtained from the National Institute of Handicapped Research, Department of Education, Switzer Office Building 3511, 400 Maryland Avenue, S.W. Washington, DC 20202.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact Headquarters Office.

**Headquarters Office:** Director, National Institute of Handicapped Research, Office of Assistant Secretary for Special Education and Rehabilitative Services, Department of Education, Switzer Office Building 3511, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (202) 472-6551. Contact: Lawrence M. Herrell.

**RELATED PROGRAMS:** 64.007, Blind Veterans Rehabilitation Centers; 84.023, Handicapped—Research and Demonstration; 84.025, Handicapped Innovative Programs—Deaf-Blind Centers; 84.028, Handicapped Regional Resource Centers; 84.129, Rehabilitation Training.

**EXAMPLES OF FUNDED PROJECTS:** Research and Training Centers with emphasis on vocational rehabilitation, medical rehabilitation, rehabilitation of mentally retarded, deafness rehabilitation, rehabilitation of the mentally ill, and rehabilitation of the severely visually disabled. Rehabilitation Engineering Centers with emphasis on application of engineering advances as applied to rehabilitation of physically handicapped, special activities in prosthetics, orthotics, and rehabilitation aids and devices for various handicapping conditions. Specific research and demonstration projects concerned with medical, psychosocial, sensory, psychiatric, and vocational rehabilitation. Research utilization and dissemination of research findings.

**CRITERIA FOR SELECTING PROPOSALS:** Objectives of projects and programs must be in consonance with and should contribute to achievement of the goals and objectives of the Institute and the policies established by the National Council on the Handicapped. Adequate facilities must be available or planned to carry out the specific project or program. Personnel must be trained and qualified to carry out the proposed programs, and staffing patterns must be appropriate. Demonstrations of adequate plans and procedures for insuring the relevance to current needs in rehabilitation and the potential for project results to be effectively utilized. Commitment of available resources on the part of applicant and evidence that the applicant has knowledge of vocational rehabilitaion issues as well as knowledge of past and present related research activities. Statement showing that the estimated cost to the government is reasonable in relation to anticipated project results (cost effectiveness). Demonstration of ability and capacity in long-range planning to achieve stated goals. Demonstration of coordination and cooperation with regional programs, State agency programs, and private rehabilitation facilities. Specific weighted selection criteria will be contained in program regulations, which are expected to be published as Final Rulemaking in September, 1981.

## 84.135 AID TO LAND-GRANT COLLEGES

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Second Morrill Act of 1980, 26 Stat. 417.

**OBJECTIVES:** Support of instruction in agricultural and mechanical sciences.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds may be used for instructors salaries or instructional equipment in the approved disciplines.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** States in which land-grant colleges are located are eligible for funds.

**Beneficiary Eligibility:** Land-grant colleges and universities.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Not applicable.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** $50,000 to each State, no matching requirements.

**Length and Time Phasing of Assistance:** 12 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annual Financial Report from each land-grant college.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $2,800,000; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $50,000 to each State.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Not applicable.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Division of Facilities and General Support Programs, Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Washington, DC 20202. Telephone: (202) 245-2806. Contact: Stanley Patterson or Melvin Fresquez.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.136 LEGAL TRAINING FOR THE DISADVANTAGED

### (The American Bar Association Fund for Public Education)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Higher Education Act of 1965, as amended by Public Law 93-380, Title IX, Part D.

**OBJECTIVES:** To provide educationally and economically disadvantaged students, many with marginal or less than traditional admissions credentials, an opportunity to attend an ABA-accredited law school, by operating (with the cooperation of accredited law schools) six, six-week summer institutes.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Awards are made to students only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Applicants must be either a U.S. citizen or citizen or permanent resident of the trust territory of the Pacific Islands; or intend to become a permanent resident of the U.S. and reside in this country for other than temporary purposes. Any person from a low income or economically disadvantaged background and who will have graduated from college at the beginning of the summer of 1982 may apply.

**Beneficiary Eligibility:** Students.

**Credentials/Documentation:** The ability to obtain a law degree.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Not applicable.

**Application Procedure:** Apply directly to the Council on Legal Education Opportunity.

**Award Procedure:** Consult the Council on Legal Education Opportunity.

**Deadlines:** The deadlines are established by the Council Legal Education Opportunity.

**Range of Approval/Disapproval Time:** The approval and disapproval time range varies according to the individual Councils.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Stipends are provided for an academic year.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Annually.

**Audits:** None.

**Records:** The records are maintained by the Council.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0201-0-1-502.

**Obligations:** (Grants) FY 81 $1,000,000; FY 82 est $960,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $1,000-Stipends.

**PROGRAM ACCOMPLISHMENTS:** Out of a total number of 2,850 CLEO fellow students, 1,410 graduated from school.

**REGULATIONS, GUIDELINES, AND LITERATURE:** "All about CLEO" published by the Council on Legal Education Opportunities, 818 18th Street, N.W., Suite 940, Washington, DC 20006.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** Division of Institutional and State Incentive Programs, Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 7th and D Streets, S.W., Room 3060, Washington, DC 20202. Telephone: (202) 245-2347. Contact: Louis J. Venuto.

**RELATED PROGRAMS:** 13.108, Health Education Assistance Loans.

**EXAMPLES OF FUNDED PROJECTS:** None.

**CRITERIA FOR SELECTING PROPOSALS:** None.

## 84.141 MIGRANT EDUCATION—HIGH SCHOOL EQUIVALENCY PROGRAM

### (HEP)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Title IV, Section 418A, Higher Education Act (Public Law 89-329), as amended by Public Law 96-374, 20 U.S.C. 1070d-2.

**OBJECTIVES:** To assist students who are engaged, or whose families are engaged, in migrant and other seasonal farmwork to obtain the equivalent of a secondary school diploma and to subsequently gain employment or be placed in an institution of higher education or other postsecondary education or training.

**TYPES OF ASSISTANCE:** Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:** Project funds may be used to assist students who are engaged, or whose families are engaged, in migrant and other seasonal farmwork to obtain the equivalent of a secondary diploma and to subsequently gain employment or be placed in an institution of higher education or other postsecondary education or training. This assistance may be provided through academic and supporting services and financial assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education or other public or nonprofit private agencies in cooperation with institutions of higher education.

**Beneficiary Eligibility:** Students who are engaged, or whose families are engaged, in migrant and other seasonal farmwork.

**Credentials/Documentation:** Migrant farmworker or other seasonal farmworker or a dependent of a migrant farmworker or other seasonal farmworker who must--(1) not have earned a secondary school diploma or its equivalent; (2) not be currently enrolled in an elementary or secondary school; (3) be above the age of compulsory school attendance in the State where the project is located; and (4) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to attain the equivalent of a secondary school diploma and to gain employment or be placed in an institution of higher education or other postsecondary education or training.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouse review in accordance with the provisions of OMB Circular No. A-95 (Attachment A, Part I) (revised).

**Application Procedure:** An applicant must use the standard application form (ED 824) as furnished by the Department of Education and as required in accordance with the provisions of OMB Circular No. A-110. An applicant submits its application to the Department of Education no later than the date indicated in an announcement issued by the Department each year and published in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for possible selection for funding.

**Award Procedure:** The Department of Education notifies a successful applicant of its award. Actual negotiation and awarding of grants is done by the Department of Education, Office of Procurement and Assistance Management.

**Deadlines:** Announced annually in the Federal Register.

**Range of Approval/Disapproval Time:** Three months.

**Appeals:** Not applicable.

**Renewals:** Projects may be approved for a multi-year period. Grants are awarded annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** The project period is generally 12 months. Longer periods may be approved. If a project is approved on a multi-year basis or is renewed, carryover provisions apply.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with the provisions of OMB Circular No. A-110, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), a grantee must submit annually a final financial status report and a final performance report.

**Audits:** In accordance with the provisions of OMB Circular No. A-110 and the Department of Education Grants Administration Regulations (34 CFR Part 74), periodic audits should be conducted to monitor the grantee's financial management systems and internal controls to ensure that funds have been used efficiently, economically, and effectively to meet the terms and conditions of the grant and all other related requirements. Audits by the Inspector General of the Department of Education and other authorized government audits must be conducted in accordance with the provisions of "Standards of Audits of Governmental Organizations, Programs, Activities and Functions," issued by the Comptroller General of the United States, and any other applicable audit guide.

**Records:** In accordance with the provisions of OMB Circular No. A-110, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), a grantee must maintain completed accounting, personnel, performance, and other project records.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0502-0-1-501.

**Obligations:** (Grants) FY 81 $6,095,000; and FY 82 est $5,584,000; FY 83 est $0.

**Range and Average of Financial Assistance:** $100,000 to $400,000; $250,000.

**PROGRAM ACCOMPLISHMENTS:** In program year 1981-82, 2,646 students are being served at 18 institutions of higher education.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Parts 74, 75, 77, and 206.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Migrant Education Programs, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, S.W., ROB 3, Room 3608, Washington, DC 20202. Telephone: (202) 245-2222. Contact: Harold Arberg.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 13.600, Administration for Children, Youth and Families—Head Start; 17.230, Migrant and Seasonal Farmworkers; 84.011, Migrant Education-Basic State Formula Grant Program; 84.144, Migrant Education—Interstate and Intrastate Coordination Program; 84.149, Migrant Education—College Assistance Migrant Program.

**EXAMPLES OF FUNDED PROJECTS:** Project funds are used to provide academic and supporting services and financial assistance to students in areas such as the following: recruitment services for enrolling project participants; instructional services in academic subject areas such as reading, writing, other communication skills, and mathematics, and in other related areas such as study skills; special academic, career, and personal guidance, counseling, and testing services, housing support or on-campus residential programs during the operation of the project; services designed to acquaint participants with the range of career options available to them including appropriate career-oriented, work-study activities; services designed to expose participants to academic institutions and programs, cultural events, and other activities not usually available to the participants and supportive of their intellectual, cultural, social, and personal development; and appropriate inservice training activities for project staff members.

**CRITERIA FOR SELECTING PROPOSALS:** Migrant Education High School Equivalency Program and College Assistance Migrant Program Regulations (34 CFR Part 206) include the criteria for selecting proposals, as follows: plan of operation (25 points); objectives and activities (20 points); evaluation plan (15 points); quality of key personnel (10 points); budget and cost effectiveness (10 points); interagency consultation and coordination (10 points); adequacy of resources (5 points); and recruitment (5 points).

## 84.142 HOUSING FOR EDUCATIONAL INSTITUTIONS

### (College Housing Program)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Housing Act of 1950, as amended, Title IV, 12 USC 1749 et seq. (pursuant to Sec. 306 of Public Law 96-88, Department of Education Organization Act, the College Housing Program was transferred by determination order of OMB from HUD to ED on May 4, 1980.)

**OBJECTIVES:** 1) To alleviate severe student and faculty housing shortages through construction, acquisition, or rehabilitation to provide student and faculty housing and related dining facilities; and; 2) to reduce fuel consumption or other operating costs of existing eligible housing and related dining facilities.

**TYPES OF ASSISTANCE:** Direct Loans.

**USES AND USE RESTRICTIONS:** Provides assistance in financing the construction, acquisition, and rehabilitation of housing and related dining facilities. Direct loans are limited to a term of 30 years, and a maximum of $3,500,000 at an annual interest rate of three percent.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Public or private nonprofit colleges and universities offering at least a 2-year program acceptable for full credit toward a bachelor's degree and public or private nonprofit hospitals operating nursing schools or internship and resident programs are eligible. Each institution must develop its own plans, subject to local zoning and building codes. Competition for construction contracts is required.

**Beneficiary Eligibility:** Same as Applicant Eligibility.

**Credentials/Documentation:** Authorization by governing body to borrow; institution's financial statements for current as well as past years; documentation as to estimated project costs, need for project, and estimated cost savings in the case of projects intended to reduce fuel consumption or other operating costs.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Application forms are available from the Department of Education. Current regulations state that Part I of OMB Circular No. A-95 does not apply to this program.

**Application Procedure:** Applications are submitted by applicants directly to the Department of Education. No State plans are required.

**Award Procedure:** The Department of Education, Washington, DC will announce fund reservations and process project approvals.

**Deadlines:** As announced in the Federal Register.

**Range of Approval/Disapproval Time:** Approximately 3 months.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** No matching requirements.

**Length and Time Phasing of Assistance:** A loan may be scheduled for repayment up to 30 years.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Certification of final project costs required prior to close-out. Periodic reports on the status of pledged revenues are required.

**Audits:** Audits may be made at the discretion of the Department of Education. In addition, copies of the institution's audited financial statements must be submitted.

**Records:** All accounting records must be retained for a period of five years after project completion.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-4250-0-3-502.

**Obligations:** (Loans) FY 81 $68,000,000; FY 82 est Unknown. (No new loans are proposed for FY 82; and FY 83 est $0.

**Range and Average of Financial Assistance:** $100,000 to $3,500,000; Unknown.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 40 loan reservations were made out of approximately 306 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Part 614.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Institutional Support Programs, Office of Assistant Secretary for Postsecondary Education, Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202. Contact: Charles I. Griffith Telephone: (202) 245-3253.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Dormitories at institutions of higher education and hospitals across the country.

**CRITERIA FOR SELECTING PROPOSALS:** 1) For Education Construction projects, the number of accomodations needed to alleviate severe student and faculty housing shortages. 2) For projects to reduce fuel consumption and other operating costs: criteria are based on the relationship of the cost savings to the development cost of the project.

## 84.143 EMERGENCY SCHOOL AID ACT—EVALUATION CONTRACTS

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Public Law 95-561, Education Amendments of 1978, Title VI, Section 613; 20 U.S.C. 2701.

**OBJECTIVES:** The evaluation of specific programs receiving Emergency School Aid Act assistance.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Evaluation contracts shall be used to pay for the expenses of planning, instrument development and administration executing statistical designs, data collection and analysis, and overall management of evaluations.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Only State educational agencies, institutions of higher education, or private agency, organizations or institutions (e.g. advisory committees) may submit a proposal for a contract.

**Beneficiary Eligibility:** ESAA Grantees; Education Department program managers; U.S. Congress.

**Credentials/Documentation:** A description of the offeror's prior experience (including its officers and its employees) indicating its capabilities to conduct the proposed evaluation.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applicants should contact the offices of Equal Educational Opportunity Programs, 400 Maryland Ave., S.W. Washington, DC 20202.

**Application Procedure:** A request for proposals will be published in the Federal Register and Commerce Business Daily soliciting proposals.

**Award Procedure:** The Deputy Secretary uses the provision of Federal Procurement Regulations in awarding contracts.

**Deadlines:** Varies from year to year. Contact the headquarters office for details.

**Range of Approval/Disapproval Time:** 60 days from receipt of application.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** The Secretary sets the length of a project period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with OMB Circular No. A-102 (Attachments H and I) and (EDGAR) Education Division General Administrative Regulations, Part 100a, Subparts P & Q.

**Audits:** In accordance with OMB Circular No. A-102 and EDGAR, Subpart R.

**Records:** In accordance with OMB Circular No. A-102 and EDGAR, Subpart D.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0103-0-1-501.

**Obligations:** FY 81 $500,000; FY 82 not presently available; FY 83 The program will be funded as part of the State Education Block Grant Program totalling $554,006,000.)

**Range and Average of Financial Assistance:** $4,880 to $549,123; $289,000.

**PROGRAM ACCOMPLISHMENTS:** Two requests for proposals were received and funded during fiscal year 1980.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants are administered under Federal Procurement Regulations governing the award of contracts.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Equal Educational Opportunity Programs, Office of Assistant Secretary for Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W. Washington, DC 20202. Telephone: (202) 245-8484. Contact: Monika Harrison.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Generally, the types of funded projects are diverse in methodology and subject matter.

**CRITERIA FOR SELECTING PROPOSALS:** The Secretary decides whether or not to award an evaluation contract based on the merit of the proposed contract.

## 84.144 MIGRANT EDUCATION—INTERSTATE AND INTRASTATE COORDINATION PROGRAM

### (Section 143 Program)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Title I, Section 143, Elementary and Secondary Education Act (Public Law 89-10), as amended by Public Law 95-561; 20 U.S.C. 2763.

**OBJECTIVES:** To carry out migrant education activities, in consultation with the States, to improve the interstate and intrastate coordination, among State and local educational agencies.

**TYPES OF ASSISTANCE:** Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:** Project funds may be used for migrant education activities to improve interstate and intrastate coordination, among State and local educational agencies. JOINT FUNDING: This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State educational agencies.

**Beneficiary Eligibility:** Migratory children of migratory agricultural workers or migratory fishers.

**Credentials/Documentation:** Migratory children who have moved from one school district to another during the past year, and who have a parent or guardian who moved from one school district to another, to obtain temporary or seasonal employment in agriculture, fishing, or related food processing activities. With the concurrence of the parent or guardian, a child may be considered migratory for up to an additional five years after the parent or guardian has ceased to migrate.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouse review in accordance with the provisions of OMB Circular No. A-95 (Attachment A, Part I) (revised). The State educational agency works closely with local educational agencies and public and nonprofit private agencies that serve migratory children.

**Application Procedure:** An applicant must use the standard application forms (ED Form 362-2) as furnished by the Department of Education and as required in accordance with the provisions of OMB Circular No. A-102. A State educational agency submits its application to the Department of Education not later than the date indicated in an announcement issued by the Department of Education each year and published in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for possible selection for funding.

**Award Procedure:** The Department of Education notifies a successful State educational agency of its award. Actual negotiation and awarding of grants is done by the Department of Education Office of Assistance Management and Procurement Services. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with the provisions of Treasury Circular 1082.

**Deadlines:** Announced annually in the Federal Register. FY 81--October 21, 1981; FY 82--March 9, 1982; FY 83 (projected) September 30, 1982.

**Range of Approval/Disapproval Time:** Three months.

**Appeals:** Not applicable.

**Renewals:** Projects may be approved for a multi-year period. Grants are awarded annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** The project period is generally 12 months. Longer periods may be approved. If a project is approved on a multi-year basis or is renewed, carryover provisions apply.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with the provisions of OMB Circular No. A-102, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), the State educational agency must submit annually a final financial status report and a final performance report for FY-81. These reports are not required for FY 82 and FY 83 grants.

**Audits:** In accordance with the provisions of OMB Circular No. A-102 and the Department of Education Grants Administration Regulations (34 CFR Part 74), periodic audits should be conducted to monitor the recipients' financial management systems and internal controls to ensure that funds have been used efficiently, economically, and effectively to meet the terms and conditions of the grant and all other related requirements. Audits by the Inspector General of the Department of Education and other authorized government audits must be conducted in accordance with the provisions of "Standards of Audits of Governmental Organizations, Programs, Activities, and Functions," issued by the Comptroller General of the United States, and any other applicable audit guide.

**Records:** In accordance with the provisions of OMB Circular No. A-102, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), a State educational agency must maintain completed accounting, personnel, performance, and other project records.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $3,104,190; FY 82 est $0; and FY 83 est $0.

**Range and Average of Financial Assistance:** $29,732 to $948,082; Average $165,226.

**PROGRAM ACCOMPLISHMENTS:** Not available until completion of FY 80 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Parts 74, 75, 77, 200, 204, and 205.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Migrant Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., ROB 3, Rm. 3608, Washington, DC 20202. Telephone: (202) 472-6100. Contact: Dustin Wilson.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 13.600, Administration for Children, Youth and Families—Head Start; 17.230, Migrant and Seasonal Farmworkers; 84.011, Migrant Education—Basic State Formula Grant Program; 84.141, Migrant Education—High School Equivalency Program; 84.149, Migrant Education—College Assistance Migrant Program.

**EXAMPLES OF FUNDED PROJECTS:** Project funds are used to improve the interstate and intrastate coordination, among State and local educational agencies, of migrant education activities in areas such as the following: parental involvement; resource centers; identification and recruitment of migratory children; secondary school services; information and dissemination centers; staff development services; interagency coordination; record transfer system uses; and project evaluation.

**CRITERIA FOR SELECTING PROPOSALS:** Education Department General Administrative Regulations (34 CFR Parts 75-77) include the criteria for selecting proposals, as follows: plan of operation; evaluation plan quality of key personnel; adequacy of resources; annual priorities; budget and cost effectiveness; interstate and intrastate consultation and coordination.

## 84.145 FEDERAL REAL PROPERTY ASSISTANCE PROGRAM

**FEDERAL AGENCY:** OFFICE OF DEPUTY UNDER SECRETARY FOR MANAGEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Public Law 81-152, Section 203K(1) of the Federal Property and Administrative Services Act as amended by Public Law 96-88, 301(2)(P).

**OBJECTIVES:** To sell or lease surplus Federal Real Property for educational purposes at fair market value. Granting public benefit allowance for each month of successfully conducting its proposed publicly beneficial educational programs.

**TYPES OF ASSISTANCE:** Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:** Must be used for educational purposes including but not limited to higher education, elementary and secondary education, libraries, central administrative facilities, educational television and radio, rehabilitation and training, vocational education and research.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Those groups, organizations, entities, or institutions providing educational programs that are: States, their political subdivisions and instrumentalities; tax-supported organizations or private non-profit institutions held exempt from taxation under 501 (C)(3) of the Internal Revenue Code of 1954.

**Beneficiary Eligibility:** Program participants receiving educational opportunities. The public in general due to reduced program costs through the earning of public benefit allowance in lieu of cash payment.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** All potentially eligible entities are notified of the availability of property including State and local officials or any known educational entity authorized to operate within the general geographical area. Upon receipt of a notice of intent to file an application preapplication conference is possible.

**Application Procedure:** Application guides and deadlines for filing applications are provided on a case by case basis. All applicants must demonstrate the legal, financial, technical ability to conduct the educational programs proposed.

**Award Procedure:** Written notification with follow up issuance of formal transfer of title.

**Deadlines:** Twenty days from notice of availability to express interest in acquiring the property; twenty-five days from close of the expression of interest period to develop and submit applications.

**Range of Approval/Disapproval Time:** After receipt of application (30 to 90 days for tentative decisions), and 90 to 360 days to the formal transfer of a title.

**Appeals:** Appeals can be made to, first, the Regional Program Director, second, the National Director, third, the Deputy under Secretary for Management, and forth, the Secretary of Education.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Recipient must cover all expenses for improvement, renovation, repair, maintenance, and operation of the program and facilities.

**Length and Time Phasing of Assistance:** From one to thirty years. The Fair Market Value (FMV) of the property is amortized over a period of time established based on the type of property acquired. Public benefit discount of the FMV is granted when public educational programs are being conducted.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual written report of activities by the recipient.

**Audits:** On site audits are conducted during the period of restriction to assure operation as specified in the application and deed of transfer.

**Records:** Capital expenditures should be documented to assure consideration of the institutions improvements when abrogation is requested.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0800-0-1-500.

**Obligations:** (Salaries and Expenses) FY 81 $1,000,000; FY 82 est $660,000; and est FY 83 est $400,000.

**Range and Average of Financial Assistance:** Mathematically the average exceeds $100,000 in acquisitions cost per property, however, this has no relationship to a given transfer.

**PROGRAM ACCOMPLISHMENTS:** Current active cases number about 1,300 with about 75 new transfers per year. Historically, the program has transferred over 2,000 parcels of various sizes with an acquisition value of $1.19 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations: 34 CFR 12; Pamphlet: How to Acquire Surplus Federal Real Property for Educational Purposes; Guidelines: Application outline and preparation assistance can be obtained at the Regional office level.

**INFORMATION CONTACTS:**

**Regional or Local Office:** See Appendix IV of the Catalog.

**Headquarters Office:** Federal Real Property Assistance Program, Office of Management, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Telephone: (202) 426-6585. Contact: Gilbert Sailer.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Type of surplus facilities available range from improved or unimproved land in rural and urban settings (i.e., former Nike missle sites to total military bases such as former Air Force stations).

**CRITERIA FOR SELECTING PROPOSALS:** All applications must establish eligibility of the institution, and its program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, unmet needs, integrated research, outpatient services, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

## 84.146 TRANSITION PROGRAM FOR REFUGEE CHILDREN

**FEDERAL AGENCY:** OFFICE OF DIRECTOR FOR BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** The Immigration and Nationality Act, as amended by the Refugee Act of 1980, Public Law 96-212.

**OBJECTIVES:** To provide Federal assistance to State and local educational agencies to meet the special educational needs of eligible refugee children enrolled in elementary and secondary schools.

**TYPES OF ASSISTANCE:** Formula Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Funds may be used to provide: (1) Bilingual education and other special English language instruction and materials. (1) Inservice training for educational personnel who work with eligible children; (3) Counseling and guidance services to eligible children; (4) Coordination with local and State social service and health programs; and (5) Development and dissemination of innovative methods and materials that meet the special educational needs of eligible children.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State educational agencies, local educational agencies, institutions of higher education, and nonprofit private organizations.

**Beneficiary Eligibility:** Children who were admitted into the United States under the authority of sections 207, 212(d)(5), or 203(a)(7) of the Immigration and Nationality Act and who are eligible under State law for instruction in public elementary or secondary schools.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Applications must be prepared and submitted to the Department in accordance with program regulations and announcements and established deadlines.

**Award Procedure:** The Director of the Office of Bilingual Education and Minority Languages Affairs approves applications for support in accordance with procedures outlined in program regulations 34 CFR Part 538. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** As announced by the Secretary of Education. Contact the program office for information. Telephone: (202) 245-2600.

**Range of Approval/Disapproval Time:** Approximately 30 to 60 days.

**Appeals:** None.

**Renewals:** None.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This project has no statutory formula. The Secretary uses a weighted formula announced in the closing date notice for transmittal of applications. It is based on the number of eligible children in the State and the factors described in 34 CFR 538.30 and 538.31 in the program regulations to award grants. There is no matching requirement. States may use up to one percent of the total award for administrative costs.

**Length and Time Phasing of Assistance:** A twelve month period.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** As required by Education Department General Administrative Regulations 34 CFR 760b.720-76.721. Specific reporting requirements are contained on the grant document.

**Audits:** Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of the grant award.

**Records:** As required by Education Department General Administrative Regulations 34 CFR 76.730-741 and 34 CFR 76.730-76.741.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0101-0-1-501.

**Obligations:** FY 81 $44,268,000; FY 82 est $19,670,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** It is anticipated that fiscal year 1981 funds will provide approximately $250 per eligible child.

**PROGRAM ACCOMPLISHMENTS:** Fiscal year 1981 awards provided assistance to approximately 170,000 children.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 34 CFR Part 538.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Office of Bilingual Education and Minority Languages Affairs, Department of Education, 400 Maryland Avenue, SW, (Room 421, Reporters Building), Washington, DC 20020, Telephone: (202) 472-3520. Contact: James Lockhart.

**RELATED PROGRAMS:** 84.003, Bilingual Education.

**EXAMPLES OF FUNDED PROJECTS:** Funds support bilingual education and special English language instruction programs; tutorial services; summer school programs.

**CRITERIA FOR SELECTING PROPOSALS:** The amount of the formula grant is based on the number of eligible children enrolled in public and nonprofit private elementary and secondary schools in the State.

## 84.148 ALLEN J. ELLENDER FELLOWSHIP PROGRAM

## (ELLENDER FELLOWSHIP)

**FEDERAL AGENCY:** OFFICE OF THE ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Allen J. Ellender Fellowship Program; Public Law 92-506, extended through Public Law 94-277 and Public Law 97-35.

**OBJECTIVES:** To provide in the name of Allen J. Ellender an opportunity for participation, by students of limited economic means and by their teachers, in the week-long government studies program supported by the Close Up Foundation. To increase understanding of the Federal government among secondary school students and their teachers and communities.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds are directed to the Close Up Foundation to assist economically disadvantaged secondary school students and their teachers to participate in the Close Up Government Studies Program in Washington, DC.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Congress directed that the Secretary of Education make grants in accordance with the provisions of the program to the Close Up Foundation, a nonpartisan, nonprofit, educational foundation.

**Beneficiary Eligibility:** Economically disadvantaged secondary school students and their teachers.

**Credentials/Documentation:** Fellowship applicants submit financial information forms.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Schools participating in the Close Up Program select a Teacher/Coordinator who coordinates the application and admissions process for students and accompanies them to Washington.

**Application Procedure:** Fellowships are offered directly to high schools from communities which have been invited to participate by the Close Up Foundation. Applicants should write to the Foundation and request information regarding the procedures for application and eligibility for the Fellowship program.

**Award Procedure:** A grant is made directly to the Close Up Foundation. Two fellowships are awarded to each high school, one for a needy student and one for the teacher/coordinator.

**Deadlines:** Each community participating in the Close Up Program has application deadlines that vary with the week when they actually participate in the program.

**Range of Approval/Disapproval Time:** Eligible schools receive notification of fellowship awards at the beginning of the school year in the Fall.

**Appeals:** Not applicable.

**Renewals:** Continuation award contingent upon funds being made available by Congress.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Are not formally required although Close Up seeks matching fellowship support from corporate and philanthropic sources to multiply significantly the total number of fellowship awards that can be offered throughout the country.

**Length and Time Phasing of Assistance:** Fellowhships are awarded to participating schools for the program which runs in 1982/83 from November through May.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** A Final Progress and Technical Report is required of the Close Up Foundation to the Department of Education at the end of each grant year; applicants or awardees are not required to submit reports.

**Audits:** The Comptroller General of the United States or any of his duly authorized representatives shall have access for the purpose of audit and examination to any books, documents, papers, and records that are pertinent to any grant under the joint resolution.

**Records:** All books, documents, papers, and records that are pertinent to the grant for a period as described in Education Department General Administrative Regulations For Direct Project Grants and Contact Programs, Part 100a, Subpart R.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $1,000,000; FY 82 est $880,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** In fiscal year 1981, 1,704 schools throughout the United States participated in the Fellowship Program. From these schools a total of 4,037 students, teachers and administrators received full or partial fellowships from the Allen J. Ellender Fellowship Program and the Close Up Foundation's community funded fellowship program. The average fellowship award was about $502. An additional 9,195 students from these same schools raised or generated their own full tuition to participate in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:** The Close Up Foundation publishes brochures outlining the nature of the program and the application procedures to be followed.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Close Up Foundation, 1235 Jefferson Davis Highway, Arlington, Virginia 22202 Telephone: (703) 892-5400. For program information: The Department of Education, 400 Maryland Ave., Washington, DC 20202. Telephone: (202) 245-8052. Contact: Gary Stember.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Fellowship grants.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.149 MIGRANT EDUCATION—COLLEGE ASSISTANCE MIGRANT PROGRAM

## (CAMP)

**FEDERAL AGENCY:** OFFICE OF ASSISTANT SECRETARY FOR ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Title IV, Section 418A, Higher Education Act (Public Law 89-329), as amended by Public Law 96-374; 20 U.S.C. 1070d-2.

**OBJECTIVES:** To assist students who are engaged, or whose families are engaged, in migrant and other seasonal farmwork who are enrolled or are admitted for enrollment on a full-time basis in the first academic year at an institution of higher education.

**TYPES OF ASSISTANCE:** Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:** Project funds may be used to assist students who are engaged, or whose families are engaged, in migrant and other seasonal farmwork who are enrolled on a full-time basis in the first academic year at an institution of higher education. This assistance may be provided through academic and supporting services and financial assistance.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Institutions of higher education or other public or nonprofit private agencies in cooperation with institutions of higher education.

**Beneficiary Eligibility:** Students who are engaged, or whose families are engaged, in migrant and other seasonal farmwork.

**Credentials/Documentation:** Migrant farmworker or other seasonal farmworker or a dependent of a migrant farmworker or other seasonal farmworker who must--(1) be enrolled or be admitted for enrollment as full-time student at the participating institution of higher education; (2) not be beyond the first academic year of a program of study at the institution of higher education, as determined under the standards of the institution of higher education; and (3) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to complete an academic program of study at the institution of higher education.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Applications are subject to State and areawide clearinghouse review in accordance with the provisions of OMB Circular No. A-95 (Attachment A, Part I) (revised).

**Application Procedure:** An applicant must use the standard application form (ED 824) as furnished by the Department of Education and as required in accordance with the provisions of OMB Circular No. A-110. An applicant submits its application to the Department of Education no later than the date indicated in an announcement issued by the Department each year and published in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for possible selection for funding.

**Award Procedure:** The Department of Education notifies a successful applicant of its award. Actual negotiation and awarding of grants is done by the Department of Education Office of Procurement and Assistance Management.

**Deadlines:** Announced annually in the Federal Register.

**Range of Approval/Disapproval Time:** Three months.

**Appeals:** Not applicable.

**Renewals:** projects may be approved for a multi-year period. Grants are awarded annually.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirement.

**Length and Time Phasing of Assistance:** The project period is generally 12 months. Longer periods may be approved. If a project is approved on a multi-year basis or is renewed, carryover provisions apply.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** In accordance with the provisions of OMB Circular No. A-110, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), a grantee must submit annually a final financial status report and a final performance report.

**Audits:** In accordance with the provisions of OMB Circular No. A-110 and the Department of Education Grants Administration Regulations (34 CFR Part 74), periodic audits should be conducted to monitor the grantee's financial management systems and internal controls to ensure that funds have been used efficiently, economically, and effectively to meet the terms and conditions of the grant and all other related requirements. Audits by the Inspector General of the Department of Education and other authorized government audits must be conducted in accordance with the provisions of "Standards of Audits of Governmental Organizations, Programs, Activities and Functions," issued by the Comptroller General of the United States, and any other applicable audit guide.

**Records:** In accordance with the provisions of OMB Circular No. A-110, the Department of Education Grants Administration Regulations (34 CFR Part 74), and the Education Department General Administrative Regulations (34 CFR Parts 75-77), a grantee must maintain completed accounting, personnel, performance, and other project records.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-0502-0-1-501.

**Obligations:** (Grants) FY 81 $1,207,000; FY 82 est $1,063,000; Y 83 est $0.

**Range and Average of Financial Assistance:** $100,000 to $400,000; Average $150,000.

**PROGRAM ACCOMPLISHMENTS:** In program year 1981-82, 796 students were being served at five institutions of higher education.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 34 CFR Parts 74, 75, 77, and 206.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Migrant Education Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., ROB 3, Room 3608, Washington, DC 20202. Telephone: (202) 245-2222. Contact: Harold Arberg.

**RELATED PROGRAMS:** 13.246, Migrant Health Centers Grants; 13.600, Administration for Children, Youth and Families-Head Start; 17.230, Migrant and Seasonal Farmworkers; 84.011, Migrant Education—Basic State Formula Grant Program; 84.144, Migrant Education—Interstate and Intrastate Coordination Program; 84.141, Migrant Education—High School Equivalency Program.

**EXAMPLES OF FUNDED PROJECTS:** Project funds are used to provide academic and supporting services and financial assistance to students in areas such as the following: recruitment services for enrolling project participants; tutoring and supplementary instructional services in basic skills, subject areas in which the participants are enrolled, and related areas such as study skills; special academic, career, and personal guidance, counseling, and testing services; housing support or on-campus residential programs during the operation of the project; services designed to acquaint participants with the services designed to expose participants to academic institutions and programs, cultural events, and other activities not usually available to the participants and supportive of their intellectual, cultural, social, and personal development; and appropriate in-service training activities for project staff members.

**CRITERIA FOR SELECTING PROPOSALS:** Migrant Education High School Equivalency Program and College Assistance Migrant Program Regulations (34 CFR Part 206) include the criteria for selecting proposals, as follows: plan of operation (25 points); objectives and activities (20 points); evaluation plan (15 points); quality of key personnel (10 points); budget and cost effectiveness (10 points); interagency consultation and coordination (10 points); adequacy of resources (5 points); and recruitment (5 points).

## 84.151 EDUCATION CONSOLIDATION AND IMPROVEMENT PROGRAMS—CHAPTER 2

### (Chapter 2)

**FEDERAL AGENCY:** STATE AND LOCAL EDUCATIONAL PROGRAMS, OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Education Consolidation and Improvement Act of 1981, Title V, Subtitle D, Chapter 2, Omnibus Budget Reconciliation Act of 1981, Public Law 97-35 (31 U.S.C. 1243.)

**OBJECTIVES:** To assist State and local education agencies to improve elementary and secondary education, through consolidation of 29 elementary and secondary education programs into a single authorization. The goal is to reduce paperwork and assign responsibility for the designs and implementation of programs to local educational agencies (LEAs).

**TYPES OF ASSISTANCE:** Formula Grants.

**USES AND USE RESTRICTIONS:** Grants are awarded to State education agencies (SEAs) for State and local educational programs for basic skills development, educational improvement and support, and special projects. The specific information about programs and activities may be found in the statute and in the antecedent legislation.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** All States including the District of Columbia and Puerto Rico; and the Insular Areas, including American Samoa, Guam, Northern Mariana Islands, Trust Territories and Virgin Islands are eligible to apply.

**Beneficiary Eligibility:** All public and private elementary and secondary students in a State.

**Credentials/Documentation:** Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** No requirements for coordination.

**Application Procedure:** To participate, a State must have on file with the Secretary of Education, an application which complies with the statutory requirements, and approval of a formula for distribution of funds to LEAs. Information about these requirements may be obtained from the Director, State and Local Educational Programs, Office of Elementary and Secondary Education, Room 2079 FOB-6, Washington, DC 20202. To participate, LEAs must have on file with SEAs an application which complies with statutory requirements.

**Award Procedure:** The Assistant Secretary for Elementary and Secondary Education determines whether the application meets the statutory requirements, and approves the formula for distribution of funds to LEAs. Grant awards are issued July 1 of each year if all requirements are met. SEAs will usually issue grant awards to LEAs for the school year which begins subsequent to the award to the State.

**Deadlines:** Any changes in the State's formula for distribution of funds to LEAs must be submitted sufficiently in advance of July 1 to permit review and approval.

**Range of Approval/Disapproval Time:** 60 days.

**Appeals:** CFR 298.41 - 298.53 (proposed regulations).

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** The Secretary is authorized to reserve up to 1 percent of the Chapter 2 appropriations for the Insular Areas, and up to 6 percent for discretionary programs. The balance is alloted to SEAs based on the State's percentage of the Nation's population aged 5 to 17. The SEA is authorized to reserve up to 20 percent of the funds for administration of the program, and for grants and contracts to support the various authorized purposes. The balance of the funds the State receives are distributed to LEAs on the basis of the formula approved by the Secretary.

**Length and Time Phasing of Assistance:** Funds are available for expenditure at SEA and LEA levels for the 27 month period following the effective date of the grant. Payment is made through the ED Letter of Credit system.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Only those reports associated with the ED Letter of Credit Systems will be required.

**Audits:** Each State shall conduct audits, in accordance with Section 1745 of the Omnibus Budget Reconciliation Act of 1981. States may choose to follow the principles and procedures of OMB Circular No. A-102 to meet the audit requirements. Audits will be conducted every two years, beginning July, 1982. The standards established by the Comptroller General for audit of governmental organizations will apply.

**Records:** SEAs and LEAs are required to keep such records as may be required for fiscal audit and program evaluation.

**FINANCIAL INFORMATION:**

**Account Identification:** 91-1000-0-1-501.

**Obligations:** (Grants) FY 81 $0; FY 82 est $536,880,000; and FY 83 est $433,000,000.

**Range and Average of Financial Assistance:** $2,187,360 to $41,310,340; $48,418,115.

**PROGRAM ACCOMPLISHMENTS:** Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Regulations have not yet been published.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** State and Local Education Program, Office of Elementary and Secondary Education Programs, 400 Maryland Avenue, S.W., Rm. 2079-FOB 6, Washington, DC 20202. Telephone: (202) 245-8094. Contact: Mrs. Shirley A. Jackson.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 84.152 NEGLECTED OR DELINQUENT TRANSITION SERVICES

**FEDERAL AGENCY:** OFFICE OF ELEMENTARY AND SECONDARY EDUCATION DEPARTMENT OF EDUCATION

**AUTHORIZATION:** Elementary and Secondary Education Act of 1965, Public Law 89-10 as amended, Title I, Section 153 (20 U.S.C. 2783).

**OBJECTIVES:** To provide special educational services to facilitate the transition of neglected or delinquent children from State-operated institutions into locally-operated programs.

**TYPES OF ASSISTANCE:** Project Grants.

**USES AND USE RESTRICTIONS:** Funds must be used to provide special educational services (in schools other than State-operated institutions) to facilitate the transition of children from State-operated institutions for neglected or delinquent children into locally-operated elementary and secondary education programs (not beyond grade 12).

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** State and local educational agencies.

**Beneficiary Eligibility:** Children under 21 years of age who have been released from a State-operated institution for neglected or delinquent children and who are going into a locally-operated educational program.

**Credentials/Documentation:** Costs will be determined in accordance with OMB Circular No. A-102 for State and local governments.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Proposals must be prepared and submitted in accordance with program announcements. The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:** After completion of a competitive review of applications, the Assistant Secretary, Elementary and Secondary Education approves an application for support. Upon completion of negotiations, the Department of Education, Office of Assistance

Management and Procurement Services, sends the notification of grant award (ED form 5232) to the recipient. Notification of awards must be made to the designated State Central Information Reception Agency in accordance with Treasury Circular 1082.

**Deadlines:** The expected closing date for applications is May 20, 1982.

**Range of Approval/Disapproval Time:** Applicants whose proposals will be funded are expected to be notified approximately 49 days after the closing date.

**Appeals:** None.

**Renewals:** None.

ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:** Assistance will be available for 12 months.

POST ASSISTANCE REQUIREMENTS:

**Reports:** In accordance with OMB Circular No. A-102 (Attachments H and I) and the Education Department General Administrative Regulations, Part 75.

**Audits:** In accordance with the provisions of Attachment P to Circular A-102, "Uniform requirements for grants to State and local governments," audits shall be made of organizations carrying out this program at least once every two years. These audits will be made in accordance with the General Accounting Office guidelines, "Standards for Audit of Governmental Organizations, Programs, Activities, and Functions," and additional guidance.

**Records:** In accordance with OMB Circular No. A-102 (Attachment C) and the Education Department General Administrative Regulations, Parts 75 and 77.

FINANCIAL INFORMATION:

**Account Identification:** 91-0100-0-1-501.

**Obligations:** (Grants) FY 81 $0; FY 82 est $1,764,000; and FY 83 est $0.

**Range and Average of Financial Assistance:** $50,000 to $150,000; $100,000.

PROGRAM ACCOMPLISHMENTS: To date, no projects have been funded.

REGULATIONS, GUIDELINES, AND LITERATURE: Parts 75 and 77 of the Education Department General Administrative Regulations (34 CFR Parts 75 and 77).

INFORMATION CONTACTS:

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Dr. John F. Staehle or Mr. Pat O. Mancini, U.S. Department of Education Compensatory Education Programs, 400 Maryland Avenue, S.W., Washington, DC 20202, (ROB 3 - Rm. 3616). Telephone: (202) 245-2722 or (202) 245-2688.

RELATED PROGRAMS: 84.013, Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children.

EXAMPLES OF FUNDED PROJECTS: To date, no projects have been funded.

CRITERIA FOR SELECTING PROPOSALS: Project applications will be evaluated based on the extent to which the proposed activities meet the needs identified in the authorizing statute, and on the basis of the criteria in 34 CFR 75.202 - 75.206.

# HARRY S. TRUMAN SCHOLARSHIP FOUNDATION

## 85.001 HARRY S. TRUMAN SCHOLARSHIP PROGRAM

**FEDERAL AGENCY:** HARRY S. TRUMAN SCHOLARSHIP FOUNDATION

**AUTHORIZATION:** Harry S. Truman Memorial Scholarship Act; Public Law 93-642, 20 U.S.C. 2001-2013, 88 Stat. 2276-2280.

**OBJECTIVES:** To honor former President Harry S. Truman through the operation of a perpetual educational scholarship program to develop increased opportunities for young Americans to prepare for and pursue careers in public service.

**TYPES OF ASSISTANCE:** Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:** Assistance is intended for the use of Scholars only.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Sophomore, undergraduate college students who are properly nominated by Department of Education recognized accredited colleges or universities, public and private nonprofit institutions/colleges and universities.

**Beneficiary Eligibility:** U.S. citizens or nationals, youth, college sophomores.

**Credentials/Documentation:** Enrolled, matriculated in a degree program at an accredited U.S. college; Junior pursuing a bachelor's degree as a full-time student during the forthcoming academic year; college grade point average of at least "B" (or equivalent) and ranked in the upper fourth of her or his class; U.S. citizen or national; selected field of study that will permit admission to a graduate or professional program leading to a career in public service.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** Each June all accredited U.S. colleges and universities are invited to nominate up to two students for the forthcoming year's Truman Scholarships. The standard nomination forms with instructions will be provided to the designated faculty representatives of all such institutions whose presidents or chancellors inform the Foundation of their intent to participate.

**Application Procedure:** The faculty representative of an institution is the key p[illegible] in the Truman Scholarship selection process and serves as liaison between her or his institution and the Foundation. The faculty representative is responsible for publicizing the Truman Scholarship on campus, soliciting recommendations on students with significant potential for leadership in government from members of the faculty, conducting a competition on campus in order to determine the candidates best qualified to be nominated by the institution, and insuring that the institution's official nomination or nominations are forwarded to the Truman Scholarship Review Committee by the stated deadline. The following information, on the official nominating materials, must be included with each Scholarship nomination: 1. The nomination and supporting information for the Harry S. Truman Scholarship Program must include a certification that the student is a candidate for a Truman Scholarship; a statement that the student plans to pursue a career in public service; a list of the student's public service activities such as those associated with government agencies, community groups, and political campaigns; a list of leadership positions the student has held during high school and during the first two years of undergraduate study; a statement of interest in a career in public service that specifies how the student's educational plans will provide preparation for that career; and a statement that the student is willing to participate in an internship or seminar sponsored by the Foundation. 2. It must also contain an essay of 600 words or less written by the student that discusses some public policy issue chosen by the student; transcripts of the student's high school and college grades; and three letters of recommendation. One of the letters must be written by a faculty member in the student's field of study, one by another person who can discuss the student's potential for a career in public service, and the third letter may be from any person of the nominee's choosing.

**Award Procedure:** 1. Initial evaluation: Student nominated for consideration as Harry S. Truman Scholars will be evaluated on the basis of: a. the extent to which the student has shown an outstanding potential for leadership in public service, and b. the student's academic performance. 2. Interviews: Semifinalist selected as a result of the initial evaluation of the credentials of all nominees are interviewed by Regional Review Panels, composed primarily of prominent scholars and public officials. Each Regional Review Panel will recommend two persons from each State or district in rank order for selection as Truman Scholars, plus up to four additional persons in rank order for two Scholarships at large from each region. Because only students with superior academic records are selected as semifinalists, the Regional Review Panels will concentrate their evaluation on the nominees' demonstrated interest in the public service and their relative potential for leadership in government. Among the characteristics they will assess in making this judgment are the following: analytic ability, communication skills, independence, initiative, integrity, self-confidence, sensitivity to others, ability to explain with clarity a complex situation, a demonstrated interest in public service, and a commitment to future public service. 3. Final Selection: From among the candidates recommended by the Regional Review Panels, the Board of Trustees will name up to 105 winners of Harry S. Truman Scholarships. Other finalists may be named as official alternates and will be eligible to receive that year's Scholarship if the winner originally named from the same State or district is not able to begin studies as a Truman Scholar.

**Deadlines:** December 1, each year, for faculty representatives to file nominations for Scholarships.

**Range of Approval/Disapproval Time:** 1. January, each year - Scholarship nominees are evaluated and semifinalists selected. 2. February-March, each year - Truman Scholarship semifinalists are interviewed. 3. April, each year - The Truman Scholars and alternates are selected by the Board of Trustees of the Harry S. Truman Scholarship Foundation.

**Appeals:** None.

**Renewals:** 1. It is the intent of the Foundation to renew Scholarship awards for the senior year and for a period not to exceed two academic years of graduate study, in accordance with the regulations established by its Board of Trustees, and subject to an annual review for compliance with these requirements. 2. The Foundation may terminate a Scholarship: a. when a student has not maintained, for two consecutive academic terms, satisfactory proficiency, or b. when the student is no longer enrolled in a program preparing for public service as specified by the Foundation. 3. A Scholar may seek postponement of her or his award because of ill health or other mitigating circumstances, upon application to the Executive Secretary.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** To be eligible to receive payments, a Truman Scholar must submit in writing: 1. an acceptance of the Scholarship award, and 2. at the beginning of each academic term, a statement of eligible expenses certified by the authorized financial officer of the enrolling institution, including those of tuition, fees, books, and room and board, an additional certification regarding the Scholar's academic program, and other certifications as required by law or regulation. The number of payments to be made via Treasury check during the academic year will correspond to the number of semesters, trimesters, or quarters in the institution's academic year, but will not be less than two.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not required.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 95-8490-0-8-502.

**Obligations:** (Grants) FY 81 $920,000; FY 82 est $1,320,000; and FY 83 est $1,580,000.

**Range and Average of Financial Assistance:** Range: $1,000 to $5,000 per annum; Average: $4,700 per annum.

**PROGRAM ACCOMPLISHMENTS:** Since fiscal year 1977, the year of the Program's inception, 317 of a total of 3,775 nominees, college students studying for career in public service have received Scholarship assistance. Although it is too early to provide definitive information, it appears that the original two classes of Truman Scholars are progressing well toward their goals of preparation for public service by gaining acceptance to prestigious graduate and professional institutions and by pursuing Foundation assisted or self-initiated internship opportunities.

**REGULATIONS, GUIDELINES, AND LITERATURE:** 45 CFR 1801.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Not applicable.

**Headquarters Office:** Malcolm C. McCormack, Executive Secretary, 712 Jackson Place, N.W., Washington, DC 20006. Telephone: (202) 395-4831. (Use the same 7 digit number for FTS).

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

## 86.001 PENSION PLAN TERMINATION INSURANCE

### (ERISA)

**FEDERAL AGENCY:** PENSION BENEFIT GUARANTY CORPORATION

**AUTHORIZATION:** Employee Retirement Income Security Act of 1974, Title IV (Plan Termination Insurance), Public Law 93-406, as amended by Public Law 96-364, the Multiemployer Pension Plan Amendments Act of 1980.

**OBJECTIVES:** To encourage the continuation and maintenance of voluntary private pension plans for the benefit of their participants, to provide for the timely and uninterrupted payment of pension benefits to participants in and beneficiaries of covered plans, and to maintain premiums charged by the PBGC at the lowest level consistent with carrying out its obligations.

**TYPES OF ASSISTANCE:** Insurance.

**USES AND USE RESTRICTIONS:** Insurance coverage is mandatory for most defined benefit pension plans. Upon termination of a covered single-employer plan, the PBGC guarantees payment of benefits vested under the terms of the plan within limits specified in the Act. The guaranteed basic benefits payable to a participant or beneficiary under a covered single-employer plan may not exceed the actuarial value at the time of termination of a monthly benefit in the form of a life annuity commencing at age 65 equal to the lesser of: (1) $750, adjusted to reflect changes in the Social Security contribution and benefit base, or (2) a participant's high consecutive five-year average monthly gross income. When covered plans or amendments to them are less than five years old at termination, basic benefits are guaranteed on a graduated basis. Insurance on single-employer plans is presently effective as of September 2, 1974, and under certain circumstances, to plans that terminated on or after July 1, 1974. Benefits of persons defined as "substantial owners" are guaranteed on a 30-year graduated basis, subject to certain additional limits in the case of increased benefits due to plan amendment. The Multiemployer Pension Plan Amendments Act of 1980, signed into law September 26, 1980, alters the nature of the insurance program for multiemployer pension plans. The Act alters the concept of plan termination for such plans, reduces the level of guarantees, creates a program of reorganization for plans with certain funding problems, and restructures PBGC's role so that it is authorized to extend financial assistance to certain troubled plans in order that they be able to meet plan commitments owed under the reduced guaranteed level. Insurance coverage is mandatory for any plan which is an employee pension benefit established or maintained by: (1) an employer engaged in or affecting commerce; (2) an employee organization engaged in or affecting commerce; or (3) both. Insurance coverage does not extend to any plan which is: (1) an individual account plan; (2) established and maintained for Federal, State or local government employees; (3) a church plan, unless an exception is granted by the PBGC; (4) not funded at all by the participant's employer; (5) unfunded and maintained by an employer primarily to provide deferred compensation for a select group of management or highly compensated employees; (6) established and maintained outside of the U.S. primarily for the benefit of non-resident aliens; (7) maintained by an employer solely for the purpose of providing benefits for certain employees in excess of the limitations on contributions and benefits imposed by the Internal Revenue Code; (8) established and maintained exclusively for substantial owners; (9) that of an international organization; (10) maintained solely for the purpose of complying with applicable workmen's compensation laws or unemployment compensation or disability insurance laws; or (11) established and maintained by a professional service employer which does not have more than 25 participants.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Private businesses and organizations, who maintain defined benefit plans and participants in such plans.

**Beneficiary Eligibility:** All participants of covered pension plans which have terminated subsequent to June 30, 1974 may be potentially eligible beneficiaries of plan termination insurance payments.

**Credentials/Documentation:** In support of Notice of Intent to Terminate Plan, records relating to financial operations and participants must be furnished by the plan administrator.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** A plan administrator who intends to terminate a covered single-employer plan must notify PBGC at least 10 days prior to the proposed termination date in accordance with PBGC regulations. Applications relating to multiemployer pension plan matters should be sent to PBGC, Office of Program Operations, 2020 K Street, NW., Washington, DC 20006.

**Award Procedure:** The PBGC determines whether or not the assets of covered single-employer plans which have either notified the PBGC of their intent to terminate or against which the PBGC has initiated termination proceedings are sufficient to pay guaranteed benefits. If plan assets are found to be insufficient or the PBGC is unable to determine asset sufficiency, it will normally have itself named as trustee to administer the plan. The PBGC is liable to pay amounts necessary to assure that basic benefits guaranteed under Title IV of the Act are paid to participants or beneficiaries under covered insufficient single-employer plans.

**Deadlines:** An annual premium filing form (Form PBGC-1) and a premium payment for existing plans must be filed by the plan administrator with the PBGC no later than the end of the seventh month after the close of the prior plan year. A Form PBGC-1 and premium payment for new plans or newly covered plans must be filed seven months after the beginning of the plan year or 30 days after the "effective date" of the plan whichever is later. Notification of intent to terminate a plan must be submitted to the PBGC by the plan administrator at least 10 days prior to the proposed date of termination. An appeal of an initial determination made by the PBGC normally must be filed within 45 days after the date of the initial determination being appealed.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Any person aggrieved by an initial determination made by the PBGC which is covered by the appeals procedures may file an appeal. An appeal or a request for an extension of time to appeal should be submitted to the Appeals Board, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, DC 20006. In addition, the PBGC has the authority to review informally, upon request, determinations that are not covered by the appeals procedures when it determines that it would be appropriate to do so.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** Not applicable.

**Length and Time Phasing of Assistance:** Not applicable, except as noted in USES AND USE RESTRICTIONS above.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** An annual report (Form 5500 series) must be filed by the plan administrator with the Internal Revenue Service no later than the last day of the seventh month after the close of the prior plan year. Certain events which may indicate serious problems within a plan also must be reported to the PBGC, normally within 30 days after the plan administrator learns of them. Such reportable events include failure to meet minimum funding standards; bankruptcy, insolvency or similar settlements; liquidation or dissolution; or transaction involving a change of employer.

**Audits:** The PBGC determines whether or not the assets of covered single-employer plans which have either notified the Corporation of their intent to terminate or against which the Corporation has initiated termination proceedings are sufficient to pay guaranteed benefits. The PBGC also may contact participants of sufficient terminated single-employer plans to ensure that assets were distributed in accordance with representations of their plan administrators. In instances where assets of the plan are not sufficient to pay guaranteed benefits, PBGC conducts audits of employers to determine their net worth and ability to pay employer liability.

**Records:** Records maintenance requirements for pension plans are specified by the Labor-Management Services Administration, Department of Labor.

**FINANCIAL INFORMATION:**

**Account Identification:** 16-4204-0-3-601.

**Obligations:** (Benefit Payments) FY 81 $41,934,000; FY 82 est $61,546,000; and FY 83 est $75,902,000. (Financial Assistance) FY 81 $311,000; FY 82 est $2,700,000; and FY 83 est $2,800,000.

**Range and Average of Financial Assistance:** Monthly benefit range per retiree, as of 9/30/81: $5 to $1,261; average monthly benefit per retiree, estimated fiscal year 1981: $125.

**PROGRAM ACCOMPLISHMENTS:** PBGC administers an insurance program guaranteeing certain pension benefits to approximately 33 million participants in approximately 80,000 private defined benefit pension plans. In fiscal year 1981, there were 24,500 participants of trusteed plans in pay status and PBGC paid $41,934,000 in benefits. It is estimated that PBGC will pay $61,546,000 in benefits in fiscal year 1982.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Title 29 CFR, Chapter 26; Form PBGC-1 Package.

**INFORMATION CONTACTS:**

**Regional or Local Office:** Contact the nearest Department of Labor, Labor-Management Services Administration Area Office.

**Headquarters Office:** Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, DC 20006. Telephone: (202) 254-4817.

**RELATED PROGRAMS:** 17.103, Pension and Welfare Benefit Programs.

**EXAMPLES OF FUNDED PROJECTS:** Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# CONSUMER PRODUCT SAFETY COMMISSION

## 87.001 VOLUNTARY STANDARDS ASSISTANCE

**FEDERAL AGENCY:** CONSUMER PRODUCT SAFETY COMMISSION

**AUTHORIZATION:** Consumer Product Safety Act, Public Law 92-573, 15 U.S.C. 205, et seq., as amended by the Consumer Product Safety Amendment of 1981, Public Law 97-35.

**OBJECTIVES:** To assist voluntary standards groups in developing and revising commercial voluntary product safety standards to prevent or reduce hazards.

**TYPES OF ASSISTANCE:** Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:** Use is restricted to safety concerns of the Consumer Product Safety Commission. These concerns include product hazards identified by the Commission or external parties. When hazards are identified, voluntary standard remedies are developed.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:** Specialized groups.

**Beneficiary Eligibility:** Anyone/General Public.

**Credentials/Documentation:** None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:** None.

**Application Procedure:** Petition or request is made to the CPSC.

**Award Procedure:** Not applicable.

**Deadlines:** Not applicable.

**Range of Approval/Disapproval Time:** Not applicable.

**Appeals:** Not applicable.

**Renewals:** Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:** None.

**Length and Time Phasing of Assistance:** Limited to the time required to complete development of standard.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:** Not applicable.

**Audits:** Not applicable.

**Records:** Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:** 61-0100-0-1-554.

**Obligations:** (Salaries and expenses) FY 81 $800,000; FY 82 est $900,000; and FY 83 est $1,100,000.

**Range and Average of Financial Assistance:** Not applicable.

**PROGRAM ACCOMPLISHMENTS:** Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:** CPSC Voluntary Standards Semi-Annual Reports and CPSC Policy Statements on Voluntary Standards, Office of the Secretary, Consumer Product Safety Commission, Washington, DC 20207.

**INFORMATION CONTACTS:**

**Regional or Local Office:** None.

**Headquarters Office:** John F. Liskey, Office of Program Management, Rm. 420-WTB, Consumer Product Safety Commission, Washington, DC 20207, Telephone: (301) 492-6554.

**RELATED PROGRAMS:** None.

**EXAMPLES OF FUNDED PROJECTS:** Assisted in development of engineering data; provided hazard analyses and direct advisory assistance in the development and revision of voluntary standards on space heaters, quartz heaters, water heaters, ladders, and miniature Christmas tree lights.

**CRITERIA FOR SELECTING PROPOSALS:** Not applicable.

# Appendix I: Programs Requiring Circular Coordination

*This appendix lists programs requiring Circular coordination. The Circulars represented are OMB Circular No. A-95 revised, Attachment A, Parts I and III; OMB Circular No. A-87; OMB Circular No. A-102; Environmental Impact Statement; Treasury Circular 1082; OMB Circular No. A-110; and OMB Circular No. A-111.*

## A-95, Attachment A, Part I

Applicants for assistance under the following programs are required to notify both the appropriate State and areawide clearinghouses of their intent to apply for assistance. At the request of clearinghouses, applicants are also required to provide them with an opportunity to review the completed application prior to submitting it to the Funding agency.

For detailed information on requirements which must be met before applying, refer to the Preapplication Coordination section of each program description. This list of Circular No. A-95, Part I program coverage takes precedence over all previously published lists. Some programs may not appear in this listing because they are not presently funded or in operation. Should such programs again become active, they will remain subject to A-95, Part I unless specifically exempted by OMB.

## A-95, Attachment A, Part III

State agencies applying for funds under the following programs are required to give the Governor of the State (or the State agency the Governor has designated to review State Plans) an opportunity to review the State Plan required as a condition of funding under such programs.

For detailed information on requirements which must be met before applying, refer to the Credentials/Documentation section of each program description.

## A-87

OMB Circular No. A-87 establishes principles and standards for determining costs applicable to grants and contracts with State and local governments. They are designed to provide the basis for a uniform approach to the problem of determining costs and to promote efficiency and better relationships between grantees and the Federal Government.

When State and local governments are recipients, the following programs listed in the Catalog of Federal Domestic Assistance are subject to the provision of A-87, except where restricted or prohibited by law.

Included also in the list are programs falling under the purview of A-87 because the Federal grantor agencies have elected to use the A-87 standards for recipients and programs not otherwise covered by the circular.

## A-102

OMB Circular No. A-102, establishes uniform administrative standards for the administration of grants and contracts to State and local governments.

When State and local governments are recipients, the following programs listed in the Catalog of Federal Domestic Assistance are subject to the provisions of OMB Circular No. A-102.

Included also in the list are programs falling under the purview of OMB Circular No. A-102 because the Federal grantor agencies have elected to use the OMB Circular No. A-102 standards for recipients and programs not otherwise covered by the circular.

## Environmental Impact Statement

Specific programs listed in the Catalog of Federal Domestic Assistance have been determined to have a significant effect on the environment and require an environmental assessment or an Environmental Impact Statement (EIS) under Section 102(2)(C) of the National Environmental Policy Act of 1969 (Public Law 90-190; 42 U.S.C. 4332(2)(C), and Executive Order 11514 (34 FR 4247) of March 4, 1970. (Significant effects include actions that may have both beneficial and detrimental effects.)

In the early stages of project application, and in all cases prior to agency decisions concerning major action, the applicant should be advised by the Federal agency from which assistance is being sought that he will be required to submit environmental impact information (to be submitted under agency guidelines) in connection with the proposed project for an environmental assessment (to be made by the Federal agency), or an Environmental Impact Statement (to be supplied by the Federal agency) concerning the proposed project.

Although the list below is not inclusive, it contains programs normally requiring either an environmental assessment or an Environmental Impact Statement.

For EIS coordination requirements, refer to the Preapplication Coordination section of each program description.

## Treasury Circular 1082

The Intergovernmental Cooperation Act of 1968 requires Federal agencies to notify the Governors, State legislatures, or their designated representatives of the purpose and amount of grants awarded to units of State/local government. Central reception points (State Central Information Reception Agencies) have been designated by the States for receiving and disseminating this information. Administrative procedures are defined in Department of the Treasury Circular No. 1082.

Notification is required on all grants to units of State/local government except those specifically exempted by the Act. The list below covers most grants to units of State/local government which fall within the purview of the Circular. Not included may be some programs where non-governmental organizations are primary recipients but occasional grants are awarded to State/local government. In these instances, notification is required.

For detailed information on the award process, refer to the Award Procedure section of each program description.

Programs in this appendix having a single asterisk (*) at the end of the title are Basic Reporting Programs. Programs having double asterisks (**) denote Basic as well as Supplemental Reporting.

## A-110

OMB Circular No. A-110 sets forth administrative requirements for the administration of grants and other agreements to include money or property in lieu of money; does not include technical assistance programs providing services, loans, loan guarantees, insurance, or direct payments to individuals. Reference to this circular appears in the Application Procedure section of programs that apply.

Applicants are public and private institutions of higher education, hospitals, and other quasi-public and private nonprofit organizations.

## A-111

OMB Circular No. A-111 establishes policies and procedures to be followed in the joint funding of related programs of Federal assistance pursuant to the Joint Funding Simplification Act of 1974. Under one application, applicants may apply for resources available from more than one Federal agency, program, or appropriation, including assistance from State sources. Programs identified as suitable for joint funding are identified in the Uses and Use Restrictions section of the programs. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate agency for further information on statutory or other restrictions involved.

Applicants are State and local governments, Indian tribal bodies and private nonprofit organizations acting separately or jointly in seeking assistance with respect to a single project.

| PROGRAM DESCRIPTION | A-95 |  | A-87 | A-102 | EIS | TC 1082 | A-110 | A-111 |
|---|---|---|---|---|---|---|---|---|
|  | Part I | Part III |  |  |  |  |  |  |
| **DEPARTMENT OF AGRICULTURE** |  |  |  |  |  |  |  |  |
| 10.001 Agricultural Research—Basic and Applied Research |  |  |  |  |  |  | X |  |
| 10.156 Federal-State Marketing Improvement Program* |  |  | X | X |  | X |  |  |
| 10.200 Grants for Agricultural Research, Special Research Grants |  |  |  |  |  |  |  |  |
| 10.202 Cooperative Forestry Research* |  |  |  |  |  | X | X |  |
| 10.203 Payments to Agricultural Experiment Stations Under Hatch Act* |  |  |  |  |  | X | X |  |
| 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee Institute* |  |  |  |  |  | X | X |  |
| 10.206 Grants for Agricultural Research—Competitive Research Grants |  |  |  |  |  | X | X |  |
| 10.207 Animal Health and Disease Research |  |  |  |  |  | X | X |  |
| 10.208 Alcohol Fuels Research |  |  |  |  |  | X | X |  |
| 10.405 Farm Labor Housing Loans and Grants** | X |  | X | X | X | X | X | X |
| 10.408 Grazing Association Loans |  |  |  | X |  | X |  |  |
| 10.409 Irrigation, Drainage, and Other Soil and Water Conservation Loans | X |  |  | X | X | X |  |  |
| 10.410 Low to Moderate Income Housing Loans | X |  |  |  |  |  |  |  |
| 10.411 Rural Housing Site Loans | X |  |  |  | X |  |  |  |
| 10.414 Resource Conservation and Development Loans | X |  |  | X | X |  |  |  |
| 10.415 Rural Rental Housing Loans | X |  |  |  | X |  |  |  |
| 10.418 Water and Waste Disposal Systems for Rural Communities** | X |  | X | X | X | X |  | X |
| 10.419 Watershed Protection and Flood Prevention Loans | X |  |  | X | X |  |  |  |
| 10.420 Rural Self-Help Housing Technical Assistance | X |  |  | X | X |  | X |  |
| 10.421 Indian Tribes and Tribal Corporation Loans |  |  |  | X |  | X |  |  |
| 10.422 Business and Industrial Loans | X |  |  | X | X | X |  |  |
| 10.423 Community Facilities Loans | X |  |  | X | X |  |  |  |
| 10.430 Energy Impacted Area Development Assistance Program | X |  | X | X | X | X |  | X |
| 10.431 Technical and Supervisory Assistance Grants | X |  | X | X | X | X | X | X |
| 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection* |  |  | X | X |  | X |  |  |
| 10.500 Cooperative Extension Service* |  |  |  |  |  | X | X |  |
| 10.550 Food Distribution* |  |  | X | X |  | X |  |  |
| 10.551 Food Stamps |  | X |  |  |  |  |  |  |
| 10.553 School Breakfast Program* |  | X | X | X |  | X | X |  |
| 10.555 National School Lunch Program |  | X | X | X |  | X | X |  |
| 10.556 Special Milk Program for Children* |  |  |  | X |  | X | X |  |
| 10.557 Special Supplemental Food Program for Women, Infants, and Children* |  | X | X |  |  | X |  |  |
| 10.558 Child Care Food Program* |  |  | X | X |  | X | X |  |
| 10.559 Summer Food Service Program for Children* |  | X | X | X |  | X | X |  |
| 10.560 State Administrative Expenses for Child Nutrition* |  | X | X |  |  | X |  |  |
| 10.561 State Administrative Matching Grants for Food Stamp Program* |  | X | X | X |  | X |  |  |
| 10.564 Nutrition Education and Training Program* |  | X | X | X |  | X |  |  |
| 10.565 Commodity Supplemental Food Program* |  | X | X |  |  | X |  |  |
| 10.652 Forestry Research |  |  | X | X |  |  | X | X |
| 10.663 Young Adult Conservation Corps—Grants to States* |  |  | X | X |  | X |  |  |
| 10.664 Cooperative Forestry Assistance* | X |  | X | X | X | X |  | X |
| 10.669 Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area |  |  | X | X |  |  |  |  |
| 10.850 Rural Electrification Loans and Loan Guarantees |  |  |  |  | X |  |  |  |
| 10.851 Rural Telephone Loans and Loan Guarantees |  |  |  |  | X |  |  |  |
| 10.852 Rural Telephone Bank Loans |  |  |  |  | X |  |  |  |
| 10.901 Resource Conservation and Development* | X |  | X | X | X | X |  |  |
| 10.904 Watershed Protection and Flood Prevention* | X |  | X | X | X | X |  |  |
| 10.909 Resource Appraisal and Program Development* |  |  | X | X |  | X |  |  |
| **DEPARTMENT OF COMMERCE** |  |  |  |  |  |  |  |  |
| 11.300 Economic Development—Grants for Public Works and Development Facilities** | X |  | X | X | X | X | X | X |
| 11.301 Economic Development—Business Development Assistance |  |  | X | X | X |  |  | X |

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| | Part I | Part III | | | | | | |
| 11.302 Economic Development—Support for Planning Organizations* | X | | X | X | X | X | | X |
| 11.303 Economic Development—Technical Assistance* | X | | X | X | X | X | X | X |
| 11.304 Economic Development—Public Works Impact Projects** | X | | X | X | X | X | X | X |
| 11.305 Economic Development—State and Local Economic Development Planning** | X | | X | X | X | X | | X |
| 11.306 Economic Development—District Operational Assistance** | X | | X | X | | X | | X |
| 11.307 Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration** | X | | | X | X | X | | |
| 11.405 Anadromous and Great Lakes Fisheries Conservation | X | | X | X | X | X | | X |
| 11.407 Commercial Fisheries Research and Development | X | | X | X | X | X | | |
| 11.417 Sea Grant Support | | | X | X | | X | X | |
| 11.419 Coastal Zone Management Program Administration | X | | X | X | X | X | | X |
| 11.420 Coastal Zone Management Estuarine Sanctuaries | X | | X | X | | X | | |
| 11.421 Coastal Energy Impact Program—Formula Grants** | X | | X | X | X | X | | X |
| 11.422 Coastal Energy Impact Program—Planning Grants** | X | | X | X | X | X | | X |
| 11.423 Coastal Energy Impact Program—Loans and Guarantees** | X | | X | X | X | X | | |
| 11.424 Coastal Energy Impact Program—Environmental Grants** | X | | X | X | X | X | | X |
| 11.425 Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants* | X | | X | X | | X | | X |
| 11.426 Financial Assistance for Marine Pollution Research | | | X | X | | X | X | |
| 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program | X | | X | | | | | |
| 11.428 Intergovernmental Climate—Demonstration Project | | | X | X | | X | X | |
| 11.550 Public Telecommunications Facilities | X | | X | X | X | X | X | |
| 11.551 Public Telecommunications Services Program | | | X | X | | | X | |
| 11.800 Minority Business Development—Management and Technical Assistance** | | | X | X | | X | X | |
| **DEPARTMENT OF DEFENSE** | | | | | | | | |
| 12.100 Aquatic Plant Control | | | | | X | | | |
| 12.101 Beach Erosion Control Projects | | | | | X | | | |
| 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works | | | | | X | | | |
| 12.106 Flood Control Projects | | | | | X | | | |
| 12.107 Navigation Projects | | | | | X | | | |
| 12.108 Snagging and Clearing for Flood Control | | | | | X | | | |
| 12.110 Planning Assistance to States | | X | | | | | | |
| 12.400 Military Construction, Army National Guard* | | | | | X | X | | |
| **DEPARTMENT OF HEALTH AND HUMAN SERVICES** | | | | | | | | |
| 13.103 Food and Drug Administration—Research | | | X | X | | | X | |
| 13.110 Maternal and Child Health Federal Consolidated Programs | X | | X | X | | X | | X |
| 13.111 Adolescent Family Life Research Grants | | | X | | | | X | X |
| 13.217 Family Planning Projects* | X | | X | X | | X | X | X |
| 13.224 Community Health Centers* | X | | X | X | | X | X | |
| 13.226 Health Services Research and Development—Grants | | | X | X | | | X | X |
| 13.228 Indian Health Services—Health Management Development Program | | | X | X | | | | X |
| 13.242 Mental Health Research Grants | | | X | X | | | X | X |
| 13.244 Mental Health Clinical or Service Related Training Grants | | | X | X | | | X | X |
| 13.246 Migrant Health Centers Grants** | X | | X | X | | X | X | X |
| 13.256 Health Maintenance Organizations** | X | | X | X | | X | X | X |
| 13.258 National Health Service Corps | X | | | | | | | |
| 13.260 Family Planning Services | X | | X | X | | X | X | X |
| 13.262 Occupational Safety and Health Research Grants | | | X | X | | | X | |
| 13.263 Occupational Safety and Health—Training Grants | | | X | X | | | X | |
| 13.268 Childhood Immunization Grants* | X | | X | X | | X | | X |
| 13.271 Alcohol Research Scientist Development and Research Scientist Awards | | | X | X | | | X | X |
| 13.272 Alcohol National Research Service Awards for Research Training | | | X | X | | | X | |
| 13.273 Alcohol Research Programs | | | X | X | | | X | X |

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| | Part I | Part III | | | | | | |
| 13.274 Alcohol Clinical or Service Related Training Programs | | | X | X | | | X | X |
| 13.277 Drug Abuse Research Scientist Development and Research Scientist Awards | | | X | X | | | X | X |
| 13.278 Drug Abuse National Research Service Awards for Research Training | | | X | X | | | X | |
| 13.279 Drug Abuse Research Programs | | | X | X | | | X | X |
| 13.280 Drug Abuse Clinical or Service Related Training Programs. | | | X | X | | | X | X |
| 13.281 Mental Health Research Scientist Development and Research Scientist Awards | | | X | X | | | X | X |
| 13.282 Mental Health National Research Service Awards for Research Training | | | X | X | | | X | |
| 13.283 Center for Disease Control—Investigations, and Technical Assistance | | | X | X | | | | |
| 13.293 State Health Planning and Development Agencies* | X | | X | X | | X | X | X |
| 13.294 Health Planning—Health Systems Agencies** | X | | X | X | | X | X | X |
| 13.298 Nurse Practitioner Training Program and Nurse Practitioner Traineeships | | | X | X | | | X | |
| 13.299 Advanced Nurse Training Program | | | | | | | X | |
| 13.306 Laboratory Animal Sciences and Primate Research | | | X | X | | | X | |
| 13.333 Clinical Research | | | X | | | | X | |
| 13.337 Biomedical Research Support | | | | | | | X | |
| 13.358 Professional Nurse Traineeships | | | | | | | X | |
| 13.359 Nurse Training Improvement—Special Projects** | | | X | X | | X | X | X |
| 13.361 Nursing Research Project Grants | | | X | X | | | X | X |
| 13.371 Biotechnology Research | | | | X | | | X | |
| 13.375 Minority Biomedical Research Support | | | X | X | | | X | |
| 13.379 Grants for Graduate Training in Family Medicine | | | | X | | X | X | |
| 13.381 Health Professions—Financial Distress Grants* | | | | | | X | X | X |
| 13.384 Health Professions—Start-Up Assistance** | | | | | | X | X | |
| 13.392 Cancer—Construction* | X | | X | X | | X | X | X |
| 13.393 Cancer Cause and Prevention Research | | | X | X | | | X | |
| 13.394 Cancer Detection and Diagnosis Research | | | X | X | | | X | |
| 13.395 Cancer Treatment Research | | | X | X | | | X | |
| 13.396 Cancer Biology Research | | | X | X | | | X | |
| 13.397 Cancer Centers Support | | | X | X | | | X | |
| 13.398 Cancer Research Manpower | | | | | | | X | |
| 13.399 Cancer Control | | | X | X | | | X | |
| 13.600 Administration for Children, Youth and Families—Head Start** | X | | X | X | | X | X | X |
| 13.608 Administration for Children, Youth and Families—Child Welfare Research and Demonstration** | | | X | X | | X | X | X |
| 13.612 Native American Programs—Financial Assistance Grants** | X | | | X | | X | X | X |
| 13.623 Administration for Children, Youth and Families—Runaway Youth** | X | | X | X | | X | X | X |
| 13.628 Child Abuse and Neglect Prevention and Treatment | X | | | X | | X | X | X |
| 13.630 Administration on Developmental Disabilities—Basic Support and Advocacy Grants | X | X | X | X | | X | | X |
| 13.631 Administration on Developmental Disabilities—Special Projects | X | | X | X | | X | X | X |
| 13.632 Administration on Developmental Disabilities—University Affiliated Facilities | | | X | | | | X | X |
| 13.633 Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers | X | X | X | X | | X | | |
| 13.635 Special Programs for the Aging—Title III, Part C—Nutrition Services | X | X | X | X | | X | | |
| 13.645 Child Welfare Services—State Grants | | X | X | X | | X | | X |
| 13.646 Work Incentive Program | | X | X | X | | X | | X |
| 13.647 Social Services Research and Demonstration | | | X | X | | | X | X |
| 13.648 Child Welfare Services Training Grants | | | | X | | X | X | X |
| 13.652 Administration for Children, Youth and Families—Adoption Opportunities** | | | X | X | | X | X | X |
| 13.655 Special Programs for the Aging—Title VI—Grants to Indian Tribes | | | X | X | | | | |
| 13.658 Foster Care—Title IV—E | | X | X | | | X | | |
| 13.659 Adoption Assistance** | | X | X | | | X | | |

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|  | Part I | Part III |  |  |  |  |  |  |
| 13.661 Native American Programs—Research, Demonstration, and Evaluation | X |  |  | X |  | X | X | X |
| 13.662 Native American Programs—Training and Technical Assistance | X |  |  | X |  | X | X | X |
| 13.665 Community Services Block Grant |  |  |  |  |  | X |  |  |
| 13.667 Social Services Block Grant |  |  |  |  |  | X |  | X |
| 13.668 Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs | X |  | X | X |  | X | X |  |
| 13.676 Surplus Property Utilization | X |  |  |  | X |  |  |  |
| 13.679 Child Support Enforcement |  | X | X | X |  | X |  |  |
| 13.714 Medical Assistance Program |  | X | X | X |  | X |  |  |
| 13.766 Health Financing Research, Demonstrations and Experiments |  |  | X | X |  |  | X | X |
| 13.775 State Medicaid Fraud Control Units* |  |  | X | X |  | X |  |  |
| 13.776 Professional Standards Review Organizations | X |  | X | X |  |  | X |  |
| 13.777 State Health Care Providers Survey Certification |  | X | X |  |  | X |  |  |
| 13.808 Assistance Payments—Maintenance Assistance |  | X | X | X |  | X |  |  |
| 13.810 Assistance Payments—State and Local Training |  | X | X | X |  | X |  |  |
| 13.812 Assistance Payments—Research |  |  | X | X |  |  | X | X |
| 13.815 Refugee Assistance—Voluntary Agency Programs |  |  |  | X |  |  | X |  |
| 13.818 Low-Income Home Energy Assistance |  | X | X | X | X | X | X | X |
| 13.821 Physiology and Biomedical Engineering |  |  | X | X |  |  | X |  |
| 13.822 Health Careers Opportunity Program |  |  | X | X |  | X | X | X |
| 13.823 Primary Care Research and Demonstration Projects* | X |  | X |  |  | X | X |  |
| 13.824 Area Health Education Centers |  |  |  |  |  | X | X |  |
| 13.837 Heart and Vascular Diseases Research |  |  | X | X |  |  | X |  |
| 13.838 Lung Diseases Research |  |  | X | X |  |  | X |  |
| 13.839 Blood Diseases and Resources Research |  |  | X | X |  |  | X |  |
| 13.840 Caries Research |  |  | X | X |  |  | X |  |
| 13.841 Periodontal Diseases Research |  |  | X | X |  |  | X |  |
| 13.842 Craniofacial Anomalies Research |  |  | X | X |  |  | X |  |
| 13.843 Restorative Materials Research |  |  | X | X |  |  | X |  |
| 13.844 Pain Control and Behavioral Studies |  |  | X | X |  |  | X |  |
| 13.845 Dental Research Institutes |  |  | X | X |  |  | X |  |
| 13.846 Arthritis, Musculoskeletal and Skin Diseases Research |  |  | X | X |  |  | X |  |
| 13.847 Diabetes, Endocrinology and Metabolism Research |  |  | X | X |  |  | X |  |
| 13.848 Digestive Diseases and Nutrition Research |  |  | X | X |  |  | X |  |
| 13.849 Kidney Diseases, Urology and Hematology Research |  |  | X | X |  |  | X |  |
| 13.853 Clinical Research |  |  | X | X |  |  | X |  |
| 13.854 Biological Basis Research |  |  | X | X |  |  | X |  |
| 13.855 Immunology, Allergic and Immunologic Diseases Research |  |  | X | X |  |  | X |  |
| 13.856 Microbiology and Infectious Diseases Research |  |  | X | X |  |  | X |  |
| 13.859 Pharmacological Sciences |  |  | X | X |  |  | X |  |
| 13.862 Genetics Research |  |  |  | X |  |  | X |  |
| 13.863 Cellular and Molecular Basis of Disease Research |  |  |  | X |  |  | X |  |
| 13.864 Population Research |  |  | X | X |  |  | X | X |
| 13.865 Research for Mothers and Children |  |  | X | X |  |  | X | X |
| 13.866 Aging Research |  |  | X | X |  |  | X |  |
| 13.867 Retinal and Choroidal Diseases Research |  |  | X | X |  |  | X |  |
| 13.868 Corneal Diseases Research |  |  | X | X |  |  | X |  |
| 13.869 Cataract Research |  |  | X | X |  |  | X |  |
| 13.870 Glaucoma Research |  |  | X | X |  |  | X |  |
| 13.871 Strabismus, Amblyopia and Visual Processing |  |  | X | X |  |  | X |  |
| 13.878 Soft Tissue Stomatology and Nutrition Research |  |  | X | X |  |  | X |  |
| 13.879 Medical Library Assistance |  |  | X | X |  |  | X | X |
| 13.880 Minority Access to Research Careers |  |  |  | X |  |  |  |  |
| 13.884 Grants for Residency Training in General Internal Medicine and/or General Pediatrics* |  |  |  |  |  | X | X |  |
| 13.886 Grants for Physician Assistant Training Program** |  |  | X | X |  | X | X |  |
| 13.891 Alcohol Research Center Grants |  |  | X | X |  |  | X |  |
| 13.892 Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders |  |  | X | X |  |  | X |  |
| 13.893 Mechanisms of Environmental Diseases and Disorders |  |  |  | X |  |  | X |  |
| 13.894 Environmental Health Research and Manpower Development Resources |  |  | X | X |  |  | X | X |
| 13.895 Grants for Faculty Development in Family Medicine** |  |  |  | X |  | X | X |  |

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| 13.896 Grants for Predoctoral Training in Family Medicine** | | | | X | | X | X | |
| 13.897 Residency Training in the General Practice of Dentistry** | | | | | | X | X | |
| 13.962 Health Administration Graduate Traineeships | | | | | | | X | |
| 13.963 Graduate Programs in Health Administration | | | | | | | X | |
| 13.964 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs | | | | | | | X | |
| 13.965 Coal Miners Respiratory Impairment Treatment Clinics and Services** | X | X | X | X | | X | X | X |
| 13.969 Curriculum Development Grants | | | X | X | | | X | |
| 13.970 Health Professions Recruitment Program for Indians | | | X | X | | | X | X |
| 13.971 Health Professions Preparatory Scholarship Programs for Indians | | | | X | | | X | |
| 13.972 Health Professions Scholarship Program for Indians | | | | X | | | X | |
| 13.974 Family Planning Services Delivery Improvement Research Grants | | | X | X | | X | X | X |
| 13.977 Preventive Health Services—Venereal Disease Control Grants* | X | | X | X | | X | X | X |
| 13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants* | | | X | X | | X | X | X |
| 13.982 Mental Health Disaster Assistance and Emergency Mental Health | | | | X | | X | X | |
| 13.984 Grants for Establishment of Departments of Family Medicine | | | | X | | X | X | |
| 13.985 Eye Research—Facility Construction | X | | X | X | | X | X | X |
| 13.987 Health Programs for Refugees | X | | X | X | | X | | |
| 13.988 Cooperative Agreements for State—Based Diabetes Control Programs | X | | X | X | | X | | |
| 13.989 Senior International Awards Program | X | X | | X | | X | X | X |
| 13.990 National Health Promotion Training Network | | | X | X | | X | X | |
| 13.995 Adolescent Family Life Demonstration Projects | X | | X | X | | X | X | X |

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

| PROGRAM DESCRIPTION | A-95 Part I | A-95 Part III | A-87 | A-102 | EIS | TC 1082 | A-110 | A-111 |
|---|---|---|---|---|---|---|---|---|
| 14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families | | | | | X | | | |
| 14.105 Interest Reduction—Homes for Lower Income Families | X | | | | X | | | |
| 14.108 Rehabilitation Mortgage Insurance | X | | | | | | | |
| 14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects | X | | | | X | | | |
| 14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects | X | | | | X | | | |
| 14.116 Mortgage Insurance—Group Practice Facilities | X | | | | X | | | |
| 14.117 Mortgage Insurance—Homes | X | | | | | | | |
| 14.118 Mortgage Insurance—Homes for Certified Veterans | X | | | | | | | |
| 14.119 Mortgage Insurance—Homes for Disaster Victims | X | | | | | | | |
| 14.120 Mortgage Insurance—Homes for Low and Moderate Income Families | X | | | | | | | |
| 14.121 Mortgage Insurance—Homes in Outlying Areas | X | | | | | | | |
| 14.122 Mortgage Insurance—Homes in Urban Renewal Areas | X | | | | | | | |
| 14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing | X | | | | X | | | |
| 14.125 Mortgage Insurance—Land Development and New Communities | X | | | | X | | | |
| 14.126 Mortgage Insurance—Management Type Cooperative Projects | X | | | | X | | | |
| 14.127 Mortgage Insurance—Manufactured (Mobile) Home Parks | X | | | | X | | | |
| 14.128 Mortgage Insurance—Hospitals | X | | | | X | | | |
| 14.129 Mortgage Insurance—Nursing Homes and Intermediate Care Facilities | X | | | | X | | | |
| 14.132 Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units | | | | | X | | | |
| 14.133 Mortgage Insurance—Purchase of Units in Condominiums | | | | | X | | | |
| 14.134 Mortgage Insurance—Rental Housing | X | | | | X | | | |

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|  | Part I | Part III |  |  |  |  |  |  |
| 14.135 Mortgage Insurance—Rental Housing for Moderate Income Families | X |  |  |  | X |  |  |  |
| 14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate | X |  |  |  | X |  |  |  |
| 14.138 Mortgage Insurance—Rental Housing for the Elderly | X |  |  |  | X |  |  |  |
| 14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas | X |  |  |  | X |  |  |  |
| 14.141 Nonprofit Sponsor Assistance Program | X |  |  |  |  |  |  |  |
| 14.146 Low Income Housing—Assistance Program* | X |  |  |  | X | X |  |  |
| 14.147 Low Income Housing—Homeownership Opportunities for Low Income Families* |  |  |  |  | X | X |  |  |
| 14.149 Rent Supplements—Rental Housing for Lower Income Families |  |  |  |  | X |  |  |  |
| 14.151 Supplemental Loan Insurance—Multifamily Rental Housing |  |  |  |  | X |  |  |  |
| 14.154 Mortgage Insurance—Experimental Rental Housing | X |  |  |  |  |  |  |  |
| 14.156 Lower Income Housing Assistance Program | X |  |  |  | X |  |  |  |
| 14.157 Housing for the Elderly or Handicapped | X |  |  |  | X |  |  |  |
| 14.159 Section 245 Graduated Payment Mortgage Program | X |  |  |  |  |  |  |  |
| 14.161 Single-Family Home Mortgage Coinsurance | X |  |  |  |  |  |  |  |
| 14.163 Mortgage Insurance—Cooperative Financing | X |  |  |  |  |  |  |  |
| 14.164 Operating Assistance for Troubled Multifamily Housing Projects |  |  |  |  |  |  | X |  |
| 14.165 Mortgage Insurance—Homes—Military Impacted Areas | X |  |  |  |  |  |  |  |
| 14.169 Housing Counseling Program |  |  | X | X |  |  | X |  |
| 14.170 Congregate Housing Services Program |  |  |  |  |  |  | X |  |
| 14.207 New Communities—Loan Guarantees | X |  |  |  | X |  |  |  |
| 14.218 Community Development Block Grants/Entitlement Grants | X |  | X |  | X | X |  |  |
| 14.219 Community Development Block Grants/Small Cities Program |  |  | X |  |  | X |  | X |
| 14.221 Urban Development Action Grants |  |  | X | X | X |  |  | X |
| 14.229 Community Development Block Grants/Secretary's Discretionary Fund |  |  | X | X | X |  | X |  |
| 14.401 Fair Housing Assistance Program |  |  | X | X |  |  |  |  |
| 14.403 Community Housing Resource Board Program |  |  |  | X |  |  |  |  |
| 14.506 General Research and Technology Activity |  |  |  |  |  |  | X | X |
| **DEPARTMENT OF THE INTERIOR** |  |  |  |  |  |  |  |  |
| 15.130 Indian Education—Assistance to Schools |  | X |  |  |  | X |  |  |
| 15.142 Self Determination Grants—Indian Tribal Governments |  |  | X | X |  |  |  | X |
| 15.143 Training and Technical Assistance—Indian Tribal Governments |  |  | X | X |  |  |  | X |
| 15.144 Indian Child Welfare Act—Title II Grants |  |  | X | X |  |  |  |  |
| 15.207 Mineral Leasing |  |  |  |  | X |  |  |  |
| 15.214 Non-Sale Disposals of Mineral Material |  |  |  |  | X |  |  |  |
| 15.215 Sale of Mineral Material |  |  |  |  | X |  |  |  |
| 15.218 Special Recreation Permits |  |  |  |  | X |  |  |  |
| 15.220 Law Enforcement |  |  | X |  |  |  |  |  |
| 15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining* | X | X | X | X |  | X |  |  |
| 15.252 Abandoned Mine Land Reclamation (AMLR) Program | X | X | X | X |  | X |  |  |
| 15.501 Irrigation Distribution System Loans | X |  |  |  | X |  |  |  |
| 15.502 Irrigation Systems Rehabilitation and Betterment |  |  |  |  | X |  |  |  |
| 15.503 Small Reclamation Projects | X |  |  |  | X | X |  |  |
| 15.600 Anadromous Fish Conservation | X |  | X | X | X | X |  |  |
| 15.605 Fish Restoration | X |  | X | X | X | X |  |  |
| 15.611 Wildlife Restoration | X |  | X | X | X | X |  |  |
| 15.612 Endangered Species Conservation | X |  | X | X | X | X |  |  |
| 15.613 Marine Mammal Grant Program* | X | X | X | X | X | X |  |  |
| 15.904 Historic Preservation Grants-In-Aid | X | X | X | X |  | X |  | X |
| 15.914 National Register of Historic Places |  | X |  |  |  |  |  |  |
| 15.916 Outdoor Recreation—Acquisition, Development and Planning** | X | X | X | X | X | X |  | X |
| 15.919 Urban Park and Recreation Recovery Program | X |  | X |  |  |  |  |  |
| 15.950 National Water Research and Development Program |  |  | X | X |  | X | X | X |

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| 15.951 Water Resources Research and Technology—Assistance to State Institutes |  |  |  |  |  | X | X | X |
| 15.952 Water Research and Technology—Matching Funds to State Institutes |  |  |  |  |  | X | X | X |
| **DEPARTMENT OF JUSTICE** |  |  |  |  |  |  |  |  |
| 16.540 Juvenile Justice and Delinquency Prevention—Allocation to States | X | X | X | X | X | X |  | X |
| 16.541 Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance | X | X | X | X |  | X |  | X |
| 16.542 National Institute for Juvenile Justice and Delinquency Prevention |  |  | X | X |  | X | X |  |
| 16.550 Criminal Justice Statistics Development |  |  | X | X |  | X |  |  |
| 16.551 Statistics on Crime and Criminal Justice |  |  |  | X |  | X |  |  |
| 16.553 Federal Statistics and Information Policy | X |  | X | X |  | X | X | X |
| 16.560 Justice Research and Development Project Grants |  |  | X | X |  | X | X | X |
| 16.601 Corrections—Training and Staff Development |  |  | X | X | X | X |  |  |
| 16.602 Corrections—Research and Evaluation and Policy Formulation |  |  | X | X | X | X |  |  |
| 16.603 Corrections—Technical Assistance |  |  | X | X | X | X |  |  |
| **DEPARTMENT OF LABOR** |  |  |  |  |  |  |  |  |
| 17.207 Employment Service |  | X | X |  |  | X |  | X |
| 17.225 Unemployment Insurance |  | X | X |  |  | X |  |  |
| 17.230 Migrant and Seasonal Farmworkers | X |  | X | X |  | X | X | X |
| 17.232 Comprehensive Employment and Training Programs | X | X | X | X |  | X |  | X |
| 17.233 Employment and Training Research and Development Projects |  |  |  |  |  | X | X | X |
| 17.234 Employment and Training—Indians and Native Americans |  |  | X |  |  | X | X | X |
| 17.235 Senior Community Service Employment Program | X |  | X |  |  |  | X |  |
| 17.243 Special National Programs and Activities for the Disadvantaged |  |  | X |  |  | X | X |  |
| 17.500 Occupational Safety and Health |  |  | X | X | X | X |  |  |
| 17.600 Mine Health and Safety Grants | X |  | X | X |  | X |  | X |
| **DEPARTMENT OF TRANSPORTATION** |  |  |  |  |  |  |  |  |
| 20.102 Airport Development Aid Program* | X |  | X | X | X | X |  |  |
| 20.103 Airport Planning Grant Program* | X |  | X | X |  | X |  | X |
| 20.205 Highway Planning and Construction** | X |  | X |  | X | X |  | X |
| 20.214 Highway Beautification—Control of Outdoor Advertising, and Control of Junkyards** | X |  | X | X |  | X |  |  |
| 20.303 Grants-in-Aid for Railroad Safety—State Participation |  | X | X | X |  | X |  | X |
| 20.308 Local Rail Service Assistance |  | X | X | X |  | X |  |  |
| 20.309 Railroad Rehabilitation and Improvement—Guarantee of Obligations | X | X | X | X | X |  |  |  |
| 20.310 Railroad Rehabilitation and Improvement—Redeemable Preference Shares |  |  | X |  | X |  |  |  |
| 20.500 Urban Mass Transportation Capital Improvement Grants* | X |  | X | X | X | X |  | X |
| 20.502 Urban Mass Transportation Grants for University Research and Training* |  |  |  |  |  | X | X |  |
| 20.503 Urban Mass Transportation Managerial Training Grants |  |  | X | X |  |  |  |  |
| 20.504 Mass Transportation Technology |  |  | X | X | X | X | X | X |
| 20.505 Urban Mass Transportation Technical Studies Grants* | X |  | X | X |  | X |  | X |
| 20.506 Urban Mass Transportation Demonstration Grants* | X |  | X | X | X | X | X | X |
| 20.507 Urban Mass Transportation Capital and Operating Assistance Formula Grants* | X |  | X | X | X | X |  |  |
| 20.509 Public Transportation for Nonurbanized Areas |  |  |  | X |  |  |  |  |
| 20.510 Urban Mass Transportation Planning Methods Research and Development* | X |  | X | X |  | X | X |  |
| 20.600 State and Community Highway Safety* |  | X | X | X | X | X |  | X |
| 20.700 Gas Pipeline Safety* |  | X | X | X |  | X |  | X |
| 20.800 Construction—Differential Subsidies |  |  |  |  | X |  |  |  |
| 20.806 State Marine Schools |  |  | X | X |  | X |  |  |
| 20.811 Research and Development Assistance |  |  | X | X |  | X | X | X |

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| **DEPARTMENT OF THE TREASURY** |  |  |  |  |  |  |  |  |
| 21.006 Tax Counseling for the Elderly |  |  |  |  |  | X | X |  |
| **APPALACHIAN REGIONAL COMMISSION** |  |  |  |  |  |  |  |  |
| 23.002 Appalachian Supplements to Federal Grant-in-Aid (Community Development)** | X | X | X | X | X | X |  | X |
| 23.003 Appalachian Development Highway System | X |  | X | X | X | X |  | X |
| 23.004 Appalachian Health Programs | X |  | X | X | X | X |  | X |
| 23.005 Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs | X |  |  | X | X | X | X |  |
| 23.008 Appalachian Local Access Roads | X |  | X | X | X | X |  | X |
| 23.009 Appalachian Local Development District Assistance | X |  | X | X |  | X |  | X |
| 23.010 Appalachian Mine Area Restoration | X |  | X | X | X | X |  | X |
| 23.011 Appalachian State Research, Technical Assistance, and Demonstration Projects | X |  | X | X |  | X | X | X |
| 23.012 Appalachian Vocational and Other Education Facilities and Operations** | X | X | X | X | X | X |  | X |
| 23.013 Appalachian Child Development | X |  | X | X |  | X |  | X |
| 23.017 Appalachian Special Transportation Related Planning, Research and Demonstration Program | X |  | X | X | X | X | X | X |
| Note: Except for 23.005, 23.009, 23.011, and 23.017, administration of these grants is not in the Commission but in the appropriate program agency—e.g., 23.003 is handled by DOT. For 23.002, Appalachian Supplements to Federal Grants-in-aid, which can provide all or any portion of the Federal contribution under certain defined grant-in-aid programs, coverage is determined by the provisions applicable to the basic grant-in-aid program. |  |  |  |  |  |  |  |  |
| **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION** |  |  |  |  |  |  |  |  |
| 30.002 Employment Discrimination—State and Local Anti-Discrimination Agency Contracts* |  |  |  |  |  | X |  |  |
| **FEDERAL MEDIATION AND CONCILIATION SERVICE** |  |  |  |  |  |  |  |  |
| 34.002 Labor—Management Cooperation |  |  | X | X |  | X | X |  |
| **GENERAL SERVICES ADMINISTRATION** |  |  |  |  |  |  |  |  |
| 39.006 National Historical Publications and Records Grants |  |  |  | X |  |  | X | X |
| **NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES** |  |  |  |  |  |  |  |  |
| 45.001 Promotion of the Arts—Design Arts |  |  | X | X |  | X | X |  |
| 45.002 Promotion of the Arts—Dance |  |  | X | X |  | X | X |  |
| 45.003 Promotion of the Arts—Artists-in-Education |  |  | X | X |  | X | X |  |
| 45.004 Promotion of the Arts—Literature |  |  | X | X |  | X | X |  |
| 45.005 Promotion of the Arts—Music |  |  | X | X |  | X | X |  |
| 45.006 Promotion of the Arts—Media Arts: Film/Radio/Television |  |  | X | X |  | X | X |  |
| 45.007 Promotion of the Arts—State Programs/Partnership Coordination |  | X | X | X |  | X |  |  |
| 45.008 Promotion of the Arts—Theatre |  |  | X | X |  | X | X |  |
| 45.009 Promotion of the Arts—Visual Arts |  |  | X | X |  | X | X |  |
| 45.010 Promotion of the Arts—Expansion Arts |  |  | X | X |  | X | X |  |
| 45.011 Promotion of the Arts—Inter-Arts |  |  | X | X |  | X | X |  |
| 45.012 Promotion of the Arts—Museums |  |  | X | X |  | X | X |  |
| 45.013 Promotion of the Arts—Challenge Grants |  |  | X | X |  | X |  |  |
| 45.014 Promotion of the Arts—Opera and Musical Theatre |  |  | X | X |  | X | X |  |
| 45.015 Promotion of the Arts—Folk Arts |  |  | X | X |  | X | X |  |
| 45.104 Promotion of the Humanities—Media Humanities Projects |  |  | X | X |  | X | X |  |
| 45.109 Promotion of the Humanities—Fellowships for Journalists |  |  |  |  |  |  | X |  |

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| 45.111 Promotion of the Humanities—Higher Education/Regional and National Grants | | | X | X | | X | X | |
| 45.113 Promotion of the Humanities—Program Development | | | X | X | | X | X | |
| 45.115 Promotion of the Humanities—Youthgrants | | | X | X | | X | X | |
| 45.116 Promotion of the Humanities—Summer Seminars for College Teachers | | | | | | X | X | |
| 45.122 Promotion of the Humanities—Fellowships at Centers for Advanced Study | | | | X | | | X | |
| 45.123 Promotion of the Humanities—Consultant Grant Program | | | X | X | | X | X | |
| 45.124 Promotion of the Humanities—Research Resources—Organization and Improvement Grants | | | X | X | | X | X | |
| 45.125 Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations | | | X | X | | X | X | |
| 45.127 Promotion of the Humanities—Elementary and Secondary Education Program | | | X | X | | X | X | |
| 45.128 Promotion of the Humanities—Planning and Assessment Studies Program* | | | X | X | | X | X | |
| 45.129 Promotion of the Humanities—State Programs | | | | | | | X | |
| 45.130 Promotion of the Humanities—Challenge Grants Program* | | | | | | X | | |
| 45.132 Promotion of the Humanities—Research Materials: Publications* | | | X | X | | X | X | |
| 45.133 Promotion of the Humanities—Science, Technology and Human Values* | | | X | X | | X | X | |
| 45.134 Promotion of the Humanities—Research Conferences* | | | X | X | | X | X | |
| 45.135 Promotion of the Humanities—Youth Projects* | | | X | X | | X | X | |
| 45.137 Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries | | | X | | | X | | |
| 45.138 Promotion of the Humanities—Education Pilot Grants | | | | | | X | X | |
| 45.139 Promotion of the Humanities—Education Implementation Grants | | | | | | X | X | |
| 45.140 Promotion of the Humanities—Basic Research | | | X | X | | X | X | |
| 45.141 Promotion of the Humanities—State, Local, and Regional Studies | | | X | X | | X | X | |
| 45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works | | | X | X | | X | X | |
| 45.146 Promotion of the Humanities—Research Materials/Editions | | | X | X | | X | X | |
| 45.147 Promotion of the Humanities—Research Materials/Translations | | | X | X | | X | X | |
| 45.148 Promotion of the Humanities—Intercultural Research Program | | | X | X | | X | X | |
| 45.149 Promotion of the Humanities—Research Resources-Conservation and Preservation Grants | | | X | X | | X | X | |
| 45.301 Institute of Museum Services | | | | X | | | X | |
| **NATIONAL SCIENCE FOUNDATION** | | | | | | | | |
| 47.009 Scientific Personnel Improvement* | | | | | | X | X | |
| 47.036 Intergovernmental and Public Service Science and Technology Program** | X | | X | X | | X | X | |
| 47.041 Engineering Grants | | | | | | X | X | |
| 47.049 Mathematical and Physical Sciences | | | | | | X | X | |
| 47.050 Astronomical, Atmospheric, Earth and Ocean Sciences | | | | | | X | X | |
| 47.051 Biological, Behavioral, and Social Sciences | | | | | | X | X | |
| 47.053 Scientific, Technological, and International Affairs | | | | | | X | X | |
| 47.055 Two-Year and Four-Year College Research Instrumentation | | | | | | X | X | |
| 47.057 Minority Research Initiation | | | | | | X | | |
| 47.059 Visiting Professorships for Women in Science and Engineering | | | | | | X | | |
| 47.060 Research Improvement in Minority Institutions | | | | | | X | X | |
| **SMALL BUSINESS ADMINISTRATION** | | | | | | | | |
| 59.032 Office of Women's Business Enterprise** | | | X | X | | X | X | |
| 59.034 Small Business Economic Research | | | X | X | | X | X | X |
| 59.037 Small Business Development Center | | | | X | | | X | |

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| **VETERANS ADMINISTRATION** | | | | | | | | |
| 64.005 Grants to States for Construction of State Home Facilities | X | | X | X | X | X | | X |
| 64.014 Veterans State Domiciliary Care | | | | | | X | | X |
| 64.015 Veterans State Nursing Home Care | | | | | | X | | X |
| 64.016 Veterans State Hospital Care | | | | | | X | | X |
| 64.114 Veterans Housing—Guaranteed and Insured Loans | X | | | | | | | |
| 64.203 State Cemetery Grants | X | X | X | X | X | X | | |
| **WATER RESOURCES COUNCIL** | | | | | | | | |
| 65.001 Water Resources Planning* | X | | X | X | | X | | X |
| **ENVIRONMENTAL PROTECTION AGENCY** | | | | | | | | |
| 66.001 Air Pollution Control Program Grants | X | X | X | X | | X | | X |
| 66.003 Air Pollution Control Manpower Training Grants | | | X | X | | | X | |
| 66.418 Construction Grants for Wastewater Treatment Works* | X | | X | X | X | X | | X |
| 66.419 Water Pollution Control—State and Interstate Program Grants* | X | X | X | X | | X | | X |
| 66.426 Water Pollution Control—State and Areawide Water Quality Management Planning* | X | | X | X | | X | | X |
| 66.432 State Public Water System Supervision Program Grants* | X | X | X | X | | X | | X |
| 66.433 State Underground Water Source Protection—Program Grants* | X | X | X | X | | X | | X |
| 66.438 Construction Management Assistance Grants* | X | | X | X | | X | | X |
| 66.451 Hazardous Waste Management Financial Assistance to States* | X | X | X | X | X | X | | X |
| 66.500 Environmental Protection—Consolidated Research Grants** | | | X | X | X | X | X | X |
| 66.501 Air Pollution Control Research Grants** | | | X | X | X | X | X | X |
| 66.502 Pesticides Control Research Grants** | | | X | X | X | X | X | X |
| 66.504 Solid Waste Disposal Research Grants** | | | X | X | X | X | X | X |
| 66.505 Water Pollution Control—Research, Development, and Demonstration Grants** | X | | X | X | X | X | X | X |
| 66.506 Safe Drinking Water Research and Demonstration Grants* | X | | X | X | X | X | X | X |
| 66.507 Toxic Substances Research Grants | | | X | X | X | X | X | X |
| 66.600 Environmental Protection Consolidated Grants—Program Support* | X | X | X | X | | X | | X |
| 66.700 Pesticides Enforcement Program Grants* | X | | X | X | | X | | X |
| **ACTION** | | | | | | | | |
| 72.001 The Foster Grandparent Program* | X | | X | X | | X | X | X |
| 72.002 Retired Senior Volunteer Program* | X | | X | X | | X | X | X |
| 72.008 The Senior Companion Program* | X | | X | X | | X | X | X |
| 72.010 Mini-Grant Program | | | X | X | | X | X | X |
| 72.011 State Office of Voluntary Citizen Participation* | | | X | X | | X | | X |
| 72.012 Volunteer Demonstration Program* | | | X | X | | X | X | X |
| 72.013 Technical Assistance Program | | | X | X | | X | X | X |
| **NUCLEAR REGULATORY COMMISSION** | | | | | | | | |
| 77.003 Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information | | | X | X | | | X | |
| **DEPARTMENT OF ENERGY** | | | | | | | | |
| 81.007 Teacher Development Projects in Energy | | | | | | | X | |
| 81.011 University Reactor Sharing and Fuel Assistance | | | | | | | X | |
| 81.022 Used Energy-Related Laboratory Equipment Grants | | | | | | | X | |
| 81.041 State Energy Conservation | | X | X | X | | X | | |
| 81.042 Weatherization Assistance for Low-Income Persons | X | X | X | X | | X | | |
| 81.043 Supplemental State Energy Conservation* | | X | X | X | X | X | | |
| 81.049 Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management | | | | | | | X | |
| 81.050 Energy Extension Service* | X | | X | X | | X | | |
| 81.051 Appropriate Energy Technology | | | X | | | | X | |
| 81.052 Energy Conservation for Institutional Buildings | | X | X | X | | | X | |

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| 81.056 Coal Loan Guarantees | X |  |  |  | X |  |  |  |
| 81.057 University Coal Research |  |  |  |  |  |  | X |  |
| 81.065 Research and Development Nuclear Energy Programs** |  |  | X | X |  | X | X |  |
| 81.075 Energy Graduate Traineeship Program |  |  |  |  |  | X | X |  |
| **FEDERAL EMERGENCY MANAGEMENT AGENCY** |  |  |  |  |  |  |  |  |
| 83.002 State Fire Incident Reporting Assistance |  |  | X | X |  |  |  |  |
| 83.003 Public Education Assistance Program* | X |  | X | X |  | X | X |  |
| 83.100 Flood Insurance | X |  |  |  |  |  |  |  |
| 83.404 Academy Planning Assistance | X |  | X |  |  |  |  |  |
| 83.500 General Research, Development, and Demonstration Activity |  |  |  | X |  |  | X | X |
| 83.501 State Assistance Program* | X |  | X | X |  | X |  |  |
| 83.503 Emergency Management Assistance* |  | X | X |  |  | X |  |  |
| 83.504 State and Local Maintenance and Services* |  |  | X | X |  | X |  | X |
| 83.505 State Disaster Preparedness Grants | X | X | X | X |  | X |  | X |
| 83.506 Earthquake and Hurricane Loss Study and Contingency Planning Grants* | X | X | X | X |  | X |  |  |
| 83.508 Radiological Systems Maintenance |  |  | X |  |  | X |  |  |
| 83.511 State Radiological Defense Officers |  |  | X | X |  | X |  |  |
| 83.512 State and Local Emergency Operating Centers |  |  | X | X | X | X |  |  |
| 83.513 State and Local Supporting Materials |  |  | X |  |  | X |  |  |
| 83.514 Nuclear Civil Protection Planning |  |  | X | X |  |  |  |  |
| 83.516 Disaster Assistance |  |  | X | X |  | X |  |  |
| **DEPARTMENT OF EDUCATION** |  |  |  |  |  |  |  |  |
| 84.002 Adult Education—State-Administered Program* | X | X | X | X |  | X |  | X |
| 84.003 Bilingual Education* |  |  | X | X |  | X | X | X |
| 84.004 Civil Rights Technical Assistance and Training** |  |  | X | X |  | X | X | X |
| 84.005 College Library Resources** |  |  |  | X |  | X | X | X |
| 84.007 Supplemental Educational Opportunity Grants |  |  |  |  |  |  | X |  |
| 84.009 Program for Education of Handicapped Children in State Operated or Supported Schools | X |  | X | X |  | X |  | X |
| 84.010 Educationally Deprived Children—Local Educational Agencies* | X |  |  | X |  | X |  | X |
| 84.011 Migrant Education—Basic State Formula Grant Program* |  | X |  | X |  | X |  | X |
| 84.012 Educationally Deprived Children—State Administration* |  |  |  |  |  | X |  | X |
| 84.013 Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children |  |  |  |  |  | X |  | X |
| 84.014 Follow Through** | X |  | X | X |  | X | X | X |
| 84.015 National Resource Centers and Fellowships in International Studies |  |  |  |  |  |  | X | X |
| 84.016 Undergraduate International Studies and Foreign Language Programs |  |  |  |  |  |  | X | X |
| 84.017 International Research and Studies |  |  | X | X |  |  | X |  |
| 84.020 Fulbright-Hays Training Grants—Foreign Curriculum Consultants |  |  | X | X |  |  | X |  |
| 84.021 Fulbright-Hays Training Grants—Group Projects Abroad |  |  | X | X |  |  | X | X |
| 84.023 Handicapped—Research and Demonstration |  |  | X | X |  |  | X |  |
| 84.024 Handicapped Early Childhood Assistance* |  |  | X | X |  | X | X |  |
| 84.025 Handicapped Innovative Programs—Deaf-Blind Centers* |  |  | X | X |  | X | X | X |
| 84.026 Handicapped Media Services and Captioned Films* |  |  | X | X |  | X | X |  |
| 84.027 Handicapped Preschool and School Programs* |  | X | X | X |  | X |  | X |
| 84.028 Handicapped Regional Resource Centers* |  |  | X | X |  | X | X | X |
| 84.029 Handicapped Personnel Preparation* |  |  | X | X |  | X | X | X |
| 84.030 Handicapped Teacher Recruitment and Information* |  |  | X | X |  | X | X | X |
| 84.031 Higher Education—Strengthening Developing Institutions |  |  |  |  |  |  | X | X |
| 84.033 College Work—Study Program |  |  |  |  |  |  | X |  |
| 84.034 Public Library Services | X | X | X | X |  | X |  | X |
| 84.035 Interlibrary Cooperation* | X | X | X | X |  | X | X | X |
| 84.036 Library Career Training* |  |  | X | X |  | X | X | X |
| 84.037 National Defense/Direct Student Loan Cancellations |  |  |  |  |  |  | X |  |
| 84.038 National Defense/Direct Student Loans |  |  |  |  |  |  | X |  |
| 84.039 Library Research and Demonstration |  |  | X |  |  |  |  | X |

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| 84.040 School Assistance in Federally Affected Areas—Construction** | X |  | X | X | X | X |  | X |
| 84.041 School Assistance in Federally Affected Areas—Maintenance and Operation* |  |  | X | X |  | X |  |  |
| 84.042 Special Services for Disadvantaged Students |  |  |  | X |  |  | X | X |
| 84.044 Talent Search |  |  |  | X |  |  |  | X |
| 84.046 Continuing Education Outreach—State Administered Program* |  | X | X |  |  | X |  | X |
| 84.047 Upward Bound |  |  | X | X |  |  | X | X |
| 84.048 Vocational Education—Basic Grants to States* | X | X | X |  |  | X |  | X |
| 84.049 Vocational Education—Consumer and Homemaking Education* | X | X | X | X |  | X |  | X |
| 84.050 Vocational Education—Program Improvement and Supportive Service* | X | X | X | X |  | X |  | X |
| 84.051 Vocational Education—Program Improvement Projects |  |  |  |  |  | X | X |  |
| 84.052 Vocational Education—Special Programs for the Disadvantaged* | X | X | X | X |  | X |  | X |
| 84.053 Vocational Education—State Advisory Councils* |  |  | X |  |  | X |  | X |
| 84.055 Higher Education—Cooperative Education |  |  |  |  |  |  | X | X |
| 84.060 Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools |  |  | X |  |  |  |  | X |
| 84.061 Indian Education—Special Programs and Projects |  |  | X |  |  |  |  |  |
| 84.062 Indian Education—Adult Indian Education |  |  | X |  |  |  |  |  |
| 84.064 Higher Education—Veterans' Cost of Instruction Program |  |  |  |  |  |  | X |  |
| 84.065 Educational Television and Radio Programming |  |  |  | X |  |  |  |  |
| 84.066 Educational Opportunity Centers |  |  |  | X |  |  |  | X |
| 84.067 Use of Technology in Basic Skills Instruction |  |  |  | X |  |  | X |  |
| 84.069 Grants to States for State Student Incentives |  |  |  | X |  |  |  |  |
| 84.072 Indian Education—Grants to Indian Controlled Schools |  |  | X |  |  |  | X |  |
| 84.073 National Diffusion Network** |  |  |  |  |  | X |  |  |
| 84.077 Bilingual Vocational Training** |  |  | X | X |  | X | X | X |
| 84.078 Regional Education Programs for Deaf and Other Handicapped Persons |  |  | X |  |  |  | X | X |
| 84.083 Women's Educational Equity* |  |  | X |  |  | X | X | X |
| 84.086 Innovative Programs for Severely Handicapped Children* |  |  | X |  |  | X | X | X |
| 84.091 Strengthening Research Library Resources** |  |  | X | X |  | X | X | X |
| 84.094 Graduate and Professional Study |  |  |  |  |  |  | X |  |
| 84.099 Bilingual Vocational Instructor Training** |  |  | X | X |  | X |  |  |
| 84.100 Bilingual Vocational Instructional Materials, Methods, and Techniques** |  |  | X | X |  | X |  |  |
| 84.101 Vocational Education—Program for Indian Tribes and Indian Organizations** |  |  | X |  |  | X |  |  |
| 84.116 Fund for the Improvement of Postsecondary Education |  |  |  | X |  |  | X | X |
| 84.117 Educational Research and Development |  |  | X | X |  |  |  | X |
| 84.120 Minority Institutions Science Improvement Program |  |  |  |  |  |  | X |  |
| 84.121 Vocational Education—State Planning and Evaluation |  | X | X | X |  | X |  |  |
| 84.124 Territorial Teacher Training Assistance Program |  |  | X | X |  |  |  |  |
| 84.126 Rehabilitation Services—Basic Support | X | X | X | X |  | X |  | X |
| 84.128 Rehabilitation Services—Special Projects | X |  | X | X |  | X | X | X |
| 84.129 Rehabilitation Training |  |  | X | X |  | X | X | X |
| 84.132 Centers for Independent Living* | X |  | X |  |  | X |  |  |
| 84.133 National Institute of Handicapped Research |  |  | X | X |  |  | X | X |
| 84.141 Migrant Education—High School Equivalency Program | X |  |  |  |  |  | X |  |
| 84.143 Emergency School Aid Act—Evaluation Contracts |  |  |  | X |  |  |  |  |
| 84.144 Migrant Education—Interstate and Intrastate Coordination Program | X |  |  | X |  | X |  | X |
| 84.146 Transition Program for Refugee Children |  |  | X | X |  | X |  |  |
| 84.149 Migrant Education—College Assistance Migrant Program | X |  |  |  |  |  | X |  |
| 84.151 Education Consolidation and Improvement Programs—Chapter 2 |  | X |  | X |  |  |  |  |

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| 84.152 Neglected or Delinquent Transition Services |  |  | X | X |  |  |  |  |

Note: Where a program is listed as having requirements under both Parts I and III of OMB Circular No. A-95 at the same time, the following holds true. These are State formula grant programs requiring State Plans which are covered under Part III. When listed under Part I, reference is to applications for subgrants under the State allocation, not to the State's application for its allocation under the formula grant which is reviewable under Part III.

# Appendix II: Authorization Appendix

*This appendix lists Public Laws, Acts and Executive Orders which mandate the program(s) corresponding to the program numbers shown below. In the first part of the Appendix, the Acts are catalogued in alphabetical sequence. In the second part of the Appendix, the Public Laws are listed in the order of the Congress in which the program was enacted.*

## Acts and Executive Orders

### A

Act of Congress Approved July 1, 1836—60.001, 60.007, 60.013, 60.016, 60.020
Act of Congress Approved August 10, 1864—60.001, 60.007, 60.009, 60.013, 60.016, 60.020
Act of Congress Approved October 24, 1968—60.020
Act of March 3, 1879—15.800, 15.801, 15.803, 15.804
Act of August 27, 1888 as amended—64.014
Act of March 2, 1895—17.002
Act of 1935 as amended—10.154
Act of April, 1940 as amended—20.001
Act of February 28, 1947, as amended—10.025
Act of August 5, 1954 transferring responsibility for health services to Indians from Bureau of Indian Affairs (Interior) to Public Health Service—13.228
Act of August 31, 1954—11.001, 11.002, 11.003, 11.004, 11.005, 11.006
Act of August 11, 1955—10.203
Act of August 8, 1956 as amended—15.604
Act of September 6, 1958 as amended—10.550
Act of July 5, 1960—11.415
Act of September 13, 1960 as amended—10.550
Act of September 25, 1961—20.002
Act of June 15, 1968 as amended—11.415
Act of October 19, 1972—11.415
Act of October 21, 1976—15.217, 15.218
Act of October 3, 1980—10.500
Act of 1975 to Promote the Development of Indian Arts and Crafts—15.850
Act to Provide Books for the Adult Blind as amended—42.001
Adoption Assistance and Child Welfare Act of 1980—13.658, 13.659
Adult Education Act of 1966 as amended—84.002
Age Discrimination Act of 1975 (ADA)—14.402
Age Discrimination in Employment Act of 1967 as amended—30.002, 30.008
Agricultural Act of 1949 as amended—10.051, 10.055, 10.056, 10.058, 10.065, 10.066, 10.067, 10.550
Agricultural Act of 1956—10.550
Agricultural Act of 1961—10.406
Agricultural Act of 1970—10.053
Agricultural Act of 1980—10.055, 10.058, 10.067
Agricultural Adjustment Act of 1938—10.051, 10.450
Agricultural Adjustment Act of 1980—10.051, 10.052, 10.055, 10.058, 10.065
Agricultural Credit Act of 1978—10.054
Agricultural Fair Practices Act of 1967—10.154
Agricultural Marketing Act of 1946—10.153, 10.154, 10.156, 10.162, 10.163, 10.164, 10.350, 11.413
Agricultural Marketing Agreement Act of 1937—10.155
Agricultural Trade Development and Assistance Act of 1954 as amended—84.019, 84.020, 84.021, 84.022
Agriculture and Consumer Protection Act of 1973—10.153
Agriculture and Food Act of 1981—10.051, 10.052, 10.053, 10.055, 10.056, 10.058, 10.059, 10.065, 10.066, 10.067, 10.500
Agriculture, Rural Development and Related Agencies Appropriation Act of 1980—10.068 10.550, 10.565
Airline Deregulation Act of 1978—17.225
Airport and Airway Development Act Amendments of 1976—20.103
Airport and Airway Development Act of 1970 as amended—20.100, 20.102, 20.103
Alaska Pipeline Act—36.001
American Fisheries Promotion Act of 1980—11.427
Anadromous Fish Conservation Act of 1965—11.405, 15.600
Animal Quarantine Act of 1890 as amended—10.025
Animal Welfare Act of 1970 as amended—10.025
Antidumping Act of 1921 as amended—11.106
Appalachian Regional Development Act of 1965 as amended—23.001, 23.002, 23.003, 23.004, 23.005, 23.008, 23.009, 23.010, 23.011, 23.012, 23.013, 23.017
Arts and Artifacts Indemnity Act of 1975—45.201
Arts and Humanities Act of 1980—45.301
Arts, Humanities and Cultural Affairs Act of 1976—45.130
Atomic Energy Act of 1954 as amended—77.001, 77.003, 81.002, 81.003, 81.004, 81.007, 81.011, 81.022, 81.023, 81.028, 81.029, 81.049, 81.057, 81.062, 81.075, 83.402

### B

Bankhead—Jones Farm Tenant Act—10.901
Bilingual Education Act of June 23, 1936—84.003
Black Lung Benefits Act of 1972—13.806, 13.965
Black Lung Reform Act of 1977—13.806
Boundary Waters Canoe Area Wilderness and Boundary Waters Canoe Area Mining Protection Area Act—10.669

### C

Capper Volstead Act—10.154
Child Abuse Prevention and Treatment Act of 1974 as amended—13.628
Child Abuse Prevention and Treatment and Adoption Reform Act of 1978—13.652
Child Nutrition Act of 1966 as amended—10.550, 10.553, 10.556, 10.557, 10.560, 10.564
Civil Rights Act of 1957 as amended—29.001
Civil Rights Act of 1964 as amended—13.675, 16.100, 16.101, 16.103, 16.105, 16.200, 29.001, 30.001, 30.002, 30.005, 30.009, 84.004
Civil Rights Act of 1968 as amended—14.400, 14.401, 14.403
Civil Rights of Institutionalized Persons Act—16.105
Civil Service Act of 1883 as amended—27.001, 27.003, 27.004, 27.006
Clayton Act—36.001
Clean Air Act of 1963 as amended—17.303, 66.001, 66.003, 66.006, 66.007, 66.008, 66.009, 66.500, 66.501, 66.600
Clean Water Act as amended—66.418, 66.419, 66.423, 66.426, 66.438, 66.500, 66.505, 66.600, 66.603
Coastal Zone Management Act of 1972—11.419, 11.420, 11.425
Coastal Zone Management Act Amendments of 1976—11.419, 11.420, 11.421, 11.422, 11.423, 11.424
Coastal Zone Management Act Amendments of 1978—11.421
Coastal Zone Management Act Amendments of 1980—11.419, 11.420, 11.421
Coast and Geodetic Survey Act of August 6, 1947—11.400, 11.401
Commercial Fisheries Research and Development Act of 1964 as amended—11.407
Commodity Credit Corporation Charter Act of 1948 as amended—10.051, 10.056, 10.067
Commodity Exchange Act as amended—78.002, 78.004
Commodity Futures Trading Commission Act of 1974—78.002, 78.004
Communications Act of 1934 as amended—11.550, 32.001
Community Development Amendments of 1979—14.218
Community Economic Development Act of 1981—13.665
Community Mental Health Centers and Biomedical Research Extension Act of 1978—13.879
Community Services Block Grant Act—13.665
Comprehensive Alcohol Abuse and Alcoholism Prevention,

Treatment, and Rehabilitation Act of 1970 as amended—13.271, 13.273, 13.274, 13.675, 13.891
Comprehensive Drug Abuse Prevention and Control Act of 1970—16.001, 16.002, 16.003, 16.004, 16.005
Comprehensive Employment and Training Act of 1973 as amended—10.663, 17.230, 17.232, 17.233, 17.234, 17.237, 17.243, 84.141
Comprehensive Employment and Training Program Act—16.101
Comprehensive Environmental Response, Compensation, and Liability Act—17.303
Comprehensive Health Manpower Training Act of 1971—13.339, 13.675
Comprehensive Health Planning and PHS Amendments of 1966—13.224
Congregate Housing Services Act of 1978—14.170
Consolidated Farm and Rural Development Act of 1972 as amended—10.404, 10.407, 10.408, 10.409, 10.413, 10.416, 10.418, 10.422, 10.423, 10.429
Consumer Credit Protection Act of 1968 as amended—17.306
Consumer Leasing Act—36.001
Consumer Product Safety Act—87.001
Contraband Cigarette Act of 1979—21.051
Contract Work Hours and Safety Standards Act—17.303
Cooperative Forestry Assistance Act of 1978—10.064
Cooperative Forestry Research Act of October 10, 1962—10.202
Cooperative Forestry Research Act of 1978—10.664
Cooperative Marketing Act of 1926—10.350
Copeland Act as amended—17.303
Cotton Futures Act—10.153, 10.162
Cotton Research and Promotion Act of 1966 as amended—10.163
Cotton Standards Act of 1923 as amended—10.162
Cotton Statistics and Estimates Act of 1927 as amended—10.153, 10.162
Crime Control Act of 1973 as amended—16.300, 16.302
Czechoslovakian Claims Settlement Act of 1981—37.011

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Davis—Bacon Act of 1921 as amended—17.303
Deepwater Port Act—36.001
Defense Authorizations Act—12.606
Defense Mobilization Order No. 13, September 22, 1976—81.048
Defense Production Act—36.001, 81.048
Department of Commerce, Bureau of Domestic Commerce Delegation—81.048
Department of Defense Appropriation Authorization Act—83.403
Department of Education Organization Act—13.676
Department of Energy Act of 1978—Civilian Applications—81.058, 81.060
Department of Energy Organization Act of 1977—81.002, 81.003, 81.004, 81.007, 81.011, 81.022, 81.023, 81.028, 81.029, 81.043, 81.049, 81.050, 81.060, 81.062, 81.065, 81.075, 84.142
Department of Interior and Related Agencies Appropriations Act—10.430
Department of Labor Act of June 13, 1888 as amended—17.100
Department of Labor Act of March 4, 1913—17.100
Department of Transportation Act of 1966 as amended—20.301, 20.307, 20.308
Developmental Disabilities Assistance and Bill of Rights Act of 1975 as amended—13.630, 13.631, 13.632
Disaster Relief Act of 1970 as amended—59.002, 59.008, 83.516
Disaster Relief Act of 1974—17.225, 83.505, 83.506, 83.516
Disease Control Amendments of 1972—13.978
Disease Control Amendments of 1976—13.268, 13.977, 13.978
Distribution System Loans Act of 1958—15.501
District of Columbia Public Postsecondary Education Reorganization Act—10.500
Domestic Volunteer Service Act of 1973 as amended—72.001, 72.002, 72.003, 72.005, 72.008, 72.010, 72.011, 72.012, 72.013
Drug Abuse Office and Treatment Act of 1972—13.675

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Earthquake Hazards Reduction Act of 1977—83.506
Economic Opportunity Act of 1964 as amended—59.009
Economic Recovery Tax Act of 1981—15.914, 15.915
Education Amendments of 1972—10.202, 10.203, 13.675, 30.010, 84.063, 84.069, 84.116
Education Amendments of 1974—84.029, 84.049, 84.077, 84.078
Education Amendments of 1976—84.029, 84.048, 84.049, 84.050, 84.052, 84.053, 84.069, 84.077, 84.099, 84.100, 84.101, 84.117
Education Amendments of 1978—84.027, 84.143
Education Amendments of 1980—10.202, 10.203, 84.005, 84.015, 84.017, 84.036, 84.039, 84.063, 84.069, 84.091
Education Consolidation and Improvement Act of 1981—84.010, 84.012, 84.013, 84.065, 84.067
Education of the Handicapped Act of 1968 as amended—84.023, 84.024, 84.025, 84.026, 84.027, 84.028, 84.029, 84.030, 84.078, 84.086
Educational Broadcasting Facilities and Telecommunications Demonstrations Act of 1976—11.550
Educational Television and Radio Amendments of 1969—11.550
Egg Products Inspection Act—10.162
Egg Research and Consumer Information Act—10.163
Electric and Hybrid Vehicle Research, Development, and Demonstration Act of 1976—81.060
Electronic Fund Transfer Act—36.001
Elementary and Secondary Education Act of 1965 as amended—84.003, 84.009, 84.011, 84.144, 84.152
Emergency Agricultural Credit Adjustment Act of 1978—10.428
Emergency Home Purchase Assistance Act of 1974—14.163
Emergency Medical Services Systems Act of 1973 as amended—13.226
Emergency Medical Services Amendments of 1976—13.226
Employee Retirement Income Security Act of 1974—17.103, 86.001
Endangered Species Act of 1973—15.610, 15.612
Energy Conservation and Production Act of 1976—81.042, 81.043, 81.056
Energy Policy and Conservation Act—36.001, 81.041, 81.048, 81.056
Energy Reorganization Act of 1974—17.303, 81.002, 81.004, 81.007, 81.011, 81.022, 81.023, 81.028, 81.029, 81.049, 81.057, 81.060, 81.062, 81.075, 83.402
Energy Research and Development Administration Appropriation Authorization of 1977—81.051
Energy Security Act—10.208, 81.042, 81.074
Equal Credit Opportunity Acts of 1974 and 1976—16.103, 36.001
Equal Educational Opportunities Act of 1974—16.100
Equal Pay Act of 1963—30.010
Executive Order 5398, July 21, 1930—64.008
Executive Order 9830, February 24, 1947—27.008, 27.009
Executive Order 10900, January 5, 1961—47.053
Executive Order 10932 as amended—83.508
Executive Order 10952 as amended—83.400, 83.401, 83.503, 83.504, 83.507, 83.509, 83.510
Executive Order 11051—83.402
Executive Order 11246, September 24, 1965 as amended—16.101
Executive Order 11375, October 13, 1967—16.101, 17.301
Executive Order 11480, September 9, 1969—53.001
Executive Order 11490—83.402
Executive Order 11521, March 26, 1970—27.002
Executive Order 11562, dated December 28, 1978—13.613
Executive Order 11566, October 26, 1970—39.009
Executive Order 11583, February 24, 1971 as amended—13.678
Executive Order 11589, April 1, 1971—27.011
Executive Order 11593, May 13, 1971—15.909, 15.914, 15.916
Executive Order 11625, October 13, 1971—11.800
Executive Order 11749—83.505, 83.516
Executive Order 11795—83.505, 83.516
Executive Order 11910—83.516
Executive Order 12008, August 25, 1977—27.013
Executive Order 12009—81.060
Executive Order 12046—11.551
Executive Order 12049, dated March 27, 1978—12.600
Executive Order 12068—16.101
Executive Order 12086—17.301

Executive Order 12110, dated December 28, 1978—13.289
Executive Order 12127, dated April 1, 1979—83.501, 83.514
Executive Order 12138, dated May 18, 1979—59.032
Executive Order 12148, dated July 20, 1979—83.400, 83.401, 83.403, 83.503, 83.504, 83.505, 83.507, 83.508, 83.509, 83.510, 83.512, 83.513, 83.514, 83.516
Executive Order 12160, dated September 26, 1979—13.678
Executive Order 12320—47.060
Export Administration Act of 1979 as amended—11.100
Export Apple and Pear Act of 1933 as amended—10.163
Export Grape and Plum Act of 1960 as amended—10.163
Export Trade Act—36.001

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Fair Credit Reporting Act—36.001
Fair Debt Collection Practices Act—36.001
Fair Labor Standards Act of 1938 as amended—17.303
Fair Labor Standards Act Amendments of 1974 and 1977—30.010
Fair Packaging and Labeling Act—36.001
Farm Labor Contractor Registration Act of 1963—17.308
Federal Aid Highway Act of 1968—16.101
Federal—Aid Highway Act of 1970—20.205, 20.215, 20.216
Federal—Aid Highway Act of 1973 as amended—17.100, 20.205
Federal—Aid Highway Act of 1976—20.205
Federal—Aid Highway Act of 1981—20.205
Federal—Aid Highway Amendments of 1974—20.205, 20.214
Federal—Aid in Sport Fish Restoration Act of 1950—15.605
Federal—Aid in Wildlife Restoration Act of 1937 as amended—15.611
Federal Aviation Act of 1958 as amended—26.002, 26.003
Federal Boat Safety Act of 1971—20.001
Federal Cigarette Labeling and Advertising Act—36.001
Federal Civil Defense Act of 1950 as amended—83.213, 83.400, 83.401, 83.403, 83.500, 83.503, 83.504, 83.507, 83.508, 83.509, 83.510, 83.511, 83.512, 83.513, 83.514
Federal Coal Mine Health and Safety Act of 1969 as amended—13.283, 13.806
Federal Credit Union Act as amended to December 23, 1971—44.001
Federal Crop Insurance Act of 1938 as amended—10.450
Federal Crop Insurance Act of 1980 as amended—10.052, 10.055, 10.058, 10.065, 10.450
Federal Energy Administration Act of 1974 as amended—81.039
Federal Environmental Pesticide Control Act of 1972—15.607
Federal Fire Prevention and Control Act of 1974—83.002, 83.003, 83.004, 83.005, 83.404, 83.405, 83.500
Federal Grant and Cooperative Agreement Act of 1977—10.652, 13.988
Federal Insecticide, Fungicide and Rodenticide Act of 1947 as amended—66.500, 66.502, 66.600, 66.700
Federal Land Policy and Management Act of 1976—15.219, 15.220
Federal Mine Safety and Health Act of 1977 as amended—17.307
Federal Mine Safety And Health Amendments Act of 1977—13.262, 13.283, 13.965, 17.600, 17.601, 17.602
Federal Non-Nuclear Energy Research and Development Act of 1974—81.036, 81.049, 81.057
Federal Noxious Weed Act of 1974—10.025
Federal Plant Pest Act of May 23, 1957 as amended—10.025
Federal Property and Administrative Services Act of 1949 as amended—13.676, 15.900, 15.915, 15.918, 39.001, 39.002, 39.003, 39.007, 84.145
Federal Railroad Safety Act of 1970 as amended—20.301, 20.303
Federal Railroad Safety Authorization Act of 1980—20.303
Federal Seed Act of 1939 as amended—10.163
Federal State Cooperative Act of 1962 (Talmadge-Aiken)—10.475
Federal Trade Commission Act of 1914 as amended—36.001
Federal Trade Commission Improvement Act of 1975—36.001
Federal Unemployment Tax Act as amended—17.225
Federal Water Pollution Control Act—17.303
Federal Water Pollution Control Act Amendments of 1972—15.607
Fish and Wildlife Act of 1956 as amended—11.413, 15.603, 15.604, 15.607, 15.608, 15.610
Fish and Wildlife Coordination Act of 1934 as amended—15.602, 15.603, 15.604, 15.607, 15.608, 15.609, 15.610
Fishermen's Protective Act of 1967 as amended—11.409, 11.410
Fishery Cooperative Marketing Act of 1934—11.411
Fishery Experiment Station Act of 1958—15.604
Flood Control Act of 1937 as amended—12.108
Flood Control Act of 1941 as amended—12.102, 12.103
Flood Control Act of 1946 as amended—12.105
Flood Control Act of 1948 as amended—12.106
Flood Control Act of 1960 as amended—12.104, 12.107
Flood Disaster Protection Act of 1973—83.100, 83.501, 83.502
Follow Through Act—84.014
Food and Agriculture Act of 1962—10.414
Food and Agriculture Act of 1965 as amended—10.051, 10.550
Food and Agriculture Act of 1977—10.051, 10.052, 10.053, 10.055, 10.056, 10.058, 10.059, 10.066, 10.067, 10.500, 10.565
Food Stamp Act of 1964 as amended—10.551
Food Stamp Act of 1977 as amended—10.561
Foreign Assistance Act of 1969 as amended—70.002, 70.003, 70.004, 70.005
Foreign Service Act of 1980—19.202
Forest and Rangeland Renewable Resources Research Act of 1978—10.652
Forest Pest Control Act of June 25, 1947 as amended—10.658
Fur Products Labeling Act—36.001
Futures Trading Act of 1978—78.002, 78.004

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General Authorities Act of 1976—15.910, 15.915
General Education Provisions Act of April 13, 1970 as amended—84.073, 84.116, 84.117, 84.120
Geothermal Energy Research, Development, and Demonstration Act of 1974—81.058
Geothermal Stream Act of 1970—15.207
Great Lakes Fishery Act of 1956—15.604
Great Plains Act of August 7, 1956—10.900
Gun Control Act of 1968—21.051, 21.052

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Hart-Scott-Rodino Antitrust Improvements Act—36.001
Hatch Act of 1887 as amended—10.203
Hazardous Materials Transportation Act—20.217
Headstart Act—13.600
Health Maintenance Organization Amendments of 1976—13.256
Health Professions Educational Assistance Act of 1976—13.824
Health Services and Centers Amendments of 1978—13.977, 13.978, 13.988
Health Services Research, Health Statistics, and Medical Libraries Act of 1974—13.226
Health Services Research, Health Statistics, and Health Care Technology Act of 1978—13.226
Higher Education Act of 1965 as amended—84.005, 84.007, 84.016, 84.031, 84.032, 84.033, 84.036, 84.037, 84.038, 84.039, 84.042, 84.044, 84.046, 84.047, 84.055, 84.064, 84.066, 84.069, 84.076, 84.091, 84.094, 84.097, 84.103, 84.136, 84.141, 84.149
Higher Education Amendments of 1972—84.063
Higher Education Technical Amendments—84.069
High Speed Ground Transportation Act of 1965 as amended—20.307
Highway Beautification Act of 1965—20.214
Highway Safety Act of 1966—20.600
Historic Sites Act of August 21, 1935—15.909, 15.910, 15.912
HMO Amendments of 1978—13.256
Hobby Protection Act—36.001
Horse Protection Act of 1970 as amended—10.025
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Public Law 96-118—15.600
Public Law 96-126—81.057
Public Law 96-142—13.823
Public Law 96-142—13.226
Public Law 96-151—64.005, 64.014, 64.015, 64.016, 64.018, 64.022
Public Law 96-153—14.116, 14.129, 14.168, 14.218, 14.221
Public Law 96-157—16.550, 16.551, 16.553, 16.560, 16.561, 16.562, 16.570, 16.571
Public Law 96-183—14.128
Public Law 96-195—20.803
Public Law 96-212—13.814, 13.815, 13.987, 84.146
Public Law 96-213—10.051, 10.052, 10.055, 10.058
Public Law 96-220—10.428
Public Law 96-234—10.056
Public Law 96-243—10.551
Public Law 96-245—46.001
Public Law 96-247—16.105
Public Law 96-248—13.608
Public Law 96-249—10.551, 10.561
Public Law 96-263—10.900
Public Law 96-265—13.646, 13.679, 13.773, 13.774, 13.802, 13.807
Public Law 96-272—13.645, 13.679
Public Law 96-294—10.208, 81.042, 81.074
Public Law 96-302—10.404, 59.002, 59.037
Public Law 96-330—64.005, 64.023
Public Law 96-342—83.500, 83.503, 83.504, 83.507, 83.508, 83.509, 83.510, 83.511, 83.512, 83.513, 83.514
Public Law 96-344—12.606
Public Law 96-364—86.001
Public Law 96-365—10.052, 10.055, 10.058, 10.065, 10.450
Public Law 96-371—20.801
Public Law 96-374—10.202, 10.203, 13.659, 84.005, 84.007, 84.015, 84.016, 84.033, 84.036, 84.037, 84.038, 84.039, 84.042, 84.044, 84.046, 84.047, 84.063, 84.064, 84.066, 84.069, 84.091, 84.097, 84.103, 84.120, 84.141, 84.149
Public Law 96-385—64.106
Public Law 96-399—14.171
Public Law 96-418—12.400
Public Law 96-422—13.817
Public Law 96-436—12.400
Public Law 96-438—10.404, 10.407, 10.413, 10.416
Public Law 96-453—20.807
Public Law 96-464—11.419, 11.420, 11.421
Public Law 96-465—19.202
Public Law 96-466—64.116
Public Law 96-472—83.506
Public Law 96-473—13.802, 13.803
Public Law 96-481—59.006
Public Law 96-483—66.418, 66.438
Public Law 96-494—10.055, 10.058, 10.067, 10.550
Public Law 96-496—45.201
Public Law 96-499—10.550, 10.553, 10.555, 10.556, 10.557, 10.558, 10.559, 10.560, 10.564, 13.775, 13.802, 13.803, 13.805
Public Law 96-502—66.425, 66.433
Public Law 96-506—23.001, 23.002, 23.003, 23.004, 23.005, 23.008, 23.009, 23.010, 23.011, 23.012, 23.013, 23.017
Public Law 96-509—16.570
Public Law 96-510—17.303
Public Law 96-514—10.430
Public Law 96-515—15.904, 15.909, 15.912, 15.914
Public Law 96-517—81.003
Public Law 96-523—27.005
Public Law 96-541—15.914
Public Law 96-545—23.013
Public Law 96-561—11.409
Public Law 96-593—46.001
Public Law 96-604—21.300
Public Law 96-606—37.010
Public Law 96-611—13.679, 13.807
Public Law 96-9390—14.218, 14.221
Public Law 97-18—10.551
Public Law 97-35—10.162, 10.407, 10.413, 10.416, 10.551, 10.553, 10.555, 10.556, 10.558, 10.559, 10.560, 11.550, 13.108, 13.224, 13.246, 13.258, 13.283, 13.288, 13.297, 13.298, 13.342, 13.363, 13.364, 13.600, 13.612, 13.630, 13.631, 13.632, 13.646, 13.661, 13.662, 13.665, 13.667, 13.679, 13.805, 13.807, 13.820, 13.822, 13.824, 13.879, 13.884, 13.886, 13.895, 13.896, 13.962, 13.963, 13.964, 13.969, 13.973, 13.977, 13.978, 13.984, 13.987, 13.988, 13.992, 14.156, 14.218, 14.221, 17.245, 20.102, 20.103, 23.001, 23.002, 23.003, 23.004, 23.005, 23.008, 23.009, 23.010, 23.011, 23.012, 23.013, 23.017, 59.002, 59.003, 59.012, 59.013, 59.021, 59.030, 84.010, 84.012, 84.013, 84.014, 84.063, 84.065, 84.066, 84.067, 84.073, 84.148, 87.001
Public Law 97-86—83.503, 83.514
Public Law 97-98—10.051, 10.052, 10.053, 10.055, 10.056, 10.058, 10.059, 10.065, 10.066, 10.067, 10.200, 10.202, 10.203, 10.206, 10.207, 10.208, 10.407, 10.413, 10.416, 10.428, 10.500, 10.901, 10.904
Public Law 97-103—10.250, 10.950
Public Law 97-115—13.633, 13.635, 13.655, 13.668, 17.235
Public Law 97-117—66.418, 66.438
Public Law 97-119—17.307
Public Law 97-123—13.802, 13.803, 13.805
Public Law 97-127—37.011
Public Law 97-134—20.205
Public Law 97-140—12.106
Public Law 97-340—15.914, 15.915

# Appendix III: Budget Functional Code Appendix

## FINANCIAL INFORMATION

Account Identification - This 11-digit budget code identifies the account from which a program is funded as expressed in the Appendix to the Federal Budget. For identification code 75-0350-0-1-551, the first two digits represent the Federal agency code, and the third through sixth digits identify the apropriation (or fund) basic account symbol assigned by the Treasury Department. Where two or more accounts with different Treasury basic account symbols are included in a consolidated program, 99 will be the third and fourth digits, the fifth digit will be the fund type and the sixth digit will reflect the sequence of consolidated programs for that fund type within the agency. The seventh digit identifies the timing of transmittal of budget estimates:

0-Regular budget schedules
1-Supplemental under existing legislation
2-Proposed for later transmittal under proposed legislation
3-Proposed for later transmittal under existing legislation
4-Supplemental - additional authorizing legislation required
5-Recission proposal
6-Supplemental request pending

The eighth digit identifies the type of government fund involved:

1-General fund

General Fund Appropriation Accounts - Accounts established to record amounts appropriated by the Congress to be expended for the general support of the Government.

General Fund Receipt Accounts - Accounts credited with all receipts that are not earmarked by law for a specific purpose.

2-Special fund

Special Fund Appropriation Accounts - Accounts established to record appropriated amounts of special fund receipts to be expended for special programs in accordance with specific provisions of law.

Special Fund Receipt Accounts - Accounts credited with receipts from specific sources that are earmarked by law for a specific purpose.

3-Public Enterprise Revolving Fund Accounts - Funds authorized by Congress to be credited with receipts primarily from the public, that are generated by, and earmarked to finance, a continuing cycle of business-type operations.

4-Intragovernmental Revolving or Management Fund

Intragovernmental Fund Accounts - Accounts established to facilitate financing transactions within and between Federal agencies. These funds may be classified as intragovernmental revolving funds or management funds.

Intragovernmental Revolving Fund Accounts - Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

7-Trust Fund (non-revolving) - Funds collected and used by the Federal Government for carrying out specific purposes and programs according to terms of a trust agreement or statute, such as the social security and unemployment trust funds. Trust funds are administered by the Government in a fiduciary capacity and are not available for the general purposes of the Government. Trust fund receipt accounts are credited with receipts generated by the terms of the trust agreement or statute. Trust fund receipts that are not anticipated to be used in the immediate future are generally invested in interest bearing Government securities and earn interest for the trust fund. Trust fund expenditure accounts record amounts appropriated from trust fund receipts to be expended in carrying out the specific purposes or programs under the trust agreement or statute. A special category of trust funds called trust revolving funds is used to carry out a cycle of business-type operations, e.g.,the Federal Deposit Insurance Corporation.

8-Trust Fund (revolving) - A fund established to finance a cycle of operations through amounts received by the fund. There are three types of revolving funds: public enterprise, intergovernmental revolving, and trust revolving funds.

9-Deposit Fund - Accounts established to facilitate the accounting for collections that are either (a) held in suspense temporarily and later refunded or paid into some other fund of the Government upon administrative or legal determination as to the proper disposition thereof or (b) held by the Government as banker or agent for others and paid out at the discretion of the depositor. These accounts are not included in the budget totals and they are not available for expenses of the Government, although they do provide a means of financing the budget.

The last three digits represent the functional classification (code) used in the latest Federal Budget document, unless noted otherwise by the Office of Management and Budget. In cases where a program is split between two or more subfunctions: (a) if all subfunctions are in the same major function, the code is the same as for the major function; or (b) if two or more major functions are involved the digits '999' are used.

Example: 75-1361-0-1-550.

Listed below are 16 major functions and 67 subfunctions as used in the budget document to show allocations of budget authority and outlays according to end purposes without regard to agency jurisdiction. The central nature of each major function is identified and defined. Catalog programs are listed following each applicable subfunction (or major function). Note that some subfunctions are not applicable to Catalog programs.

*The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A-Formula Grants; B-Project Grants; C-Direct Payments for Specified Use; D-Direct Payments with Unrestricted Use; E-Direct Loans; F-Guaranteed/Insured Loans; G-Insurance; H-Sale, Exchange, or Donation of Property and Goods; I-Use of Property, Facilities, and Equipment; J-Provisions of Specialized Services; K-Advisory Services and Counseling; L-Dissemination of Technical Information; M-Training; N-Investigation of Complaints; O-Federal Employment.*

## (050) NATIONAL DEFENSE

This function includes those programs directly related to the common defense and security of the United States. It includes the raising, equipping, and maintaining of armed forces (including civilian supporting activities), development and utilization of weapons systems (including nuclear weapons), and related programs. National defense includes direct compensation and benefits paid to active military and civilian personnel; contributions to their retirement, health, and life insurance funds; cash benefits for military retired pay; the conduct of defense research, development, testing, and evaluation; and procurement, construction, stockpiling, and other activities undertaken with the direct object of fostering our national security.

Excluded from national defense are benefits or compensation to veterans and their dependents (veterans benefits are generally available to personnel who served the country in national emergencies; benefits for career military personnel are generally charged as a cost to the national defense function.) Also excluded from national defense is the peaceful conduct of foreign relations; foreign military, economic, and humanitarian assistance; subsidies to business by civilian agencies (such as maritime subsidies) that may be partially justified as promoting national security; and research and operations of agencies (such as space research) whose program mission is not directly designed to promote national defense but which could result in some significant benefits to our national security.

### (051) Department of Defense - Military

The entire agency is included in this subfunction. Because of the method of funding and accounting in the Defense Department no further subdivisions on a program basis are available in terms of outlays.

| | |
|---|---|
| 12.400 | Military Construction, Army National Guard (B) |
| 12.600 | Community Economic Adjustment (J,K) |
| 12.606 | Selected Reserve Educational Assistance Program (C) |

### (053) Atomic Energy Defense Activities

Those programs of the Department of Energy devoted to national defense activities, such as naval ship reactors and nuclear weapons.

### (054) Defense-Related Activities

Miscellaneous defense activities such as the expenses connected with selective service and with defense stockpiles outside the Departments of Defense and Energy.

| | |
|---|---|
| 83.400 | Emergency Management Institute—Student Expense Program (B,M) |
| 83.401 | Emergency Management—Architect/Engineer Student Development (M) |
| 83.402 | Radiological Emergency Response—Training Assistance (K,M) |
| 83.403 | Training and Education Field Deployment (A,B,M) |
| 83.503 | Emergency Management Assistance (A) |
| 83.504 | State and Local Maintenance and Services (B) |
| 83.507 | Industrial Preparedness Planning (L,M) |
| 83.508 | Radiological Systems Maintenance (B,J) |
| 83.509 | National Shelter Survey (J) |
| 83.510 | Radiation Shielding Design (K) |
| 83.511 | State Radiological Defense Officers (B,J) |
| 83.512 | State and Local Emergency Operating Centers (B) |
| 83.513 | State and Local Supporting Materials (B) |

83.514 Nuclear Civil Protection Planning (B)

## (150) INTERNATIONAL AFFAIRS

This function is concerned with the maintenance of peaceful relations, commerce, and travel between the United States and the remainder of the world, and with the promotion of international security and economic development abroad. It includes the conduct of foreign affairs; cost of membership in international organizations; foreign information and exchange activities; foreign military, economic, and humanitarian assistance programs; and loan programs designed to foster U.S. exports. Excluded from international affairs are outlays from domestic programs that may tangentially affect foreign relations or citizens of other nations.

### (151) Foreign Economic and Financial Assistance

This includes humanitarian assistance, development assistance, security supporting assistance, grants to and investments in international financial and development institutions, and the costs associated with concessionary agricultural exports.

70.002 Foreign Investment Guaranties (F)
70.003 Foreign Investment Insurance (G)
70.004 Pre-Investment Assistance (C)
70.005 Direct Investment Loans (E)

### (152) Military Assistance

This includes all of international security assistance. It involves the transfer of defense articles and services to foreign governments through grants, credit sales, and training.

### (153) Conduct of Foreign Affairs

This includes the diplomatic and consular operations of the Department of State and closely-related activities in other agencies (such as the Arms Control and Disarmament Agency).

19.200 Claims Against Foreign Governments (J)
19.202 Special Domestic Assignments (J)
61.001 Import Relief (Industry) (J)

### (154) Foreign Information and Exchange Activities

This includes student and cultural exchange programs and foreign library, radio, or other media information activities designed to promote mutual understanding between the people of the United States and other Nations.

82.001 Educational Exchange—Graduate Students (B)
82.002 Educational Exchange—University Lecturers (Professors) and Research Scholars (B)

### (155) International Financial Programs

This includes export credit, the military sales trust fund, international commodity agreements, international monetary programs, and other programs designed to improve the functioning of the international financial system.

## (250) GENERAL SCIENCE, SPACE AND TECHNOLOGY

This function shows budget resources allocated to science and research activities of the Federal Government to meet the national need to advance knowledge in this area. In addition, research and technology programs that have diverse goals and cannot readily be classified into one specific function are also placed here to avoid detailed splitting of accounts. Included in this function are general scientific research and civilian space programs that are not an integral part of the programs conducted under any other function. This includes the research conducted by the National Aeronautics and Space Administration, and general science research supported by the Department of Energy.

As is noted above, research programs that are an integral part of the achievement of other major functions -e.g., health, national defense, energy -- are excluded from this function. Only if a research program cannot readily be included in other functions is it classified in this function.

### (251) General Science and Basic Research

This includes the expenses of conducting the National Science Foundation programs and the general science activities of the Department of Energy.

47.009 Scientific Personnel Improvement (B)
47.036 Intergovernmental and Public Service Science and Technology Program (B)
47.041 Engineering Grants (B)
47.049 Mathematical and Physical Sciences (B)
47.050 Astronomical, Atmospheric, Earth and Ocean Sciences (B)
47.051 Biological, Behavioral, and Social Sciences (B)
47.053 Scientific, Technological, and International Affairs (B)
47.055 Two-Year and Four-Year College Research Instrumentation (B)
47.057 Minority Research Initiation (B)
47.059 Visiting Professorships for Women in Science and Engineering (B)
47.060 Research Improvement in Minority Institutions (B)
81.049 Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B)

### (253) Space Flight

This subfunction is devoted to the development and operation of space transportation systems.

### (254) Space Science, Applications, and Technology

This subfunction is devoted to basic scientific research connected with outer space, research and demonstrations designed to provide terrestrial applications of technology developed through space research, and development of new space technologies for future missions.

### (255) Supporting Space Activity

This includes the costs of tracking and data relay support for NASA space science and applications for flight missions.

## (270) ENERGY

The energy function includes those programs designed to promote an adequate supply and appropriate use of energy to serve the needs of the economy. It includes most of those programs operated by the Department of Energy and its predecessor agencies except for atomic energy defense activities and for general science research not closely related to energy.

81.002 Motion Picture Film Libraries (L)
81.003 Granting of Patent Licenses (L)
81.004 University-Laboratory Cooperative Program (B,I)
81.022 Used Energy-Related Laboratory Equipment Grants (H)
81.023 Information Services—Exhibits, Public Speakers, and Publications (L)
81.029 Uranium Industry Seminars (L)
81.036 Energy-Related Inventions (B,I,K,L)
81.041 State Energy Conservation (A)
81.043 Supplemental State Energy Conservation (A)
81.048 Priorities and Allocations for Energy Programs and Projects (J,M)
81.050 Energy Extension Service (A)
81.064 DOE Technical Information Center (L)

### (271) Energy Supply

This includes those programs designed to increase the supply of energy through the development of domestic resources and systems capable of using them. Included in energy supply are the costs of research and demonstration of supply systems.

10.850 Rural Electrification Loans and Loan Guarantees (F)
10.851 Rural Telephone Loans and Loan Guarantees (F)
81.011 University Reactor Sharing and Fuel Assistance (B,H)
81.028 Radiological Emergency Assistance (J,K,L)
81.049 Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (B)
81.056 Coal Loan Guarantees (F)
81.057 University Coal Research (B)
81.058 Geothermal Loan Guarantees (F)
81.065 Research and Development Nuclear Energy Programs (B,C)
81.074 Alcohol Fuels Loan Guarantees (F)
81.075 Energy Graduate Traineeship Program (B)

### (272) Energy Conservation

Programs in this subfunction are designed to encourage the prudent use of energy resources.

10.430 Energy Impacted Area Development Assistance Program (B)
81.051 Appropriate Energy Technology (B)
81.052 Energy Conservation for Institutional Buildings (A)

### (274) Emergency Energy Preparedness

This includes the programs associated with developing and maintaining a stockpile of energy resources (currently combined to petroleum) to meet emergency needs and associated contingency planning activities.

### (276) Energy Information, Policy, and Regulation

This includes the unallocable overhead activities of the Department of Energy plus the costs of energy information and regulation activities.

77.001 Radiation Control—Training Assistance and Advisory Counseling (K,L,M)
77.003 Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (B)
81.039 National Energy Information Center (L)

## (300) NATURAL RESOURCES AND ENVIRONMENT

This function includes those programs whose primary purpose is to develop, manage, and maintain the Nation's natural resources and environment. It encompasses development and management of water resources; protection and enhancement of environmental quality; development and maintenance of recreational resources; promotion of the prudent use of forest and mineral resources; the fostering of conservation practices on both public and private lands; marine, earth, and atmospheric -related research, and the management of the public domain.

Excluded from this function are the outlays for community water supply programs, basic sewer system, and waste treatment plants, which are part of a community or regional development (rather than an environmental enhancement) program or are part of the cost of operating a Federal facility (such as a military installation).

66.500 Environmental Protection—Consolidated Research Grants (B)
66.501 Air Pollution Control Research Grants (B)
66.502 Pesticides Control Research Grants (B)
66.504 Solid Waste Disposal Research Grants (B)
66.505 Water Pollution Control—Research, Development, and Demonstration Grants (B)
66.506 Safe Drinking Water Research and Demonstration Grants (B)
66.507 Toxic Substances Research Grants (B)

### (301) Water Resources

This includes water protection, conservation, irrigation, and related activities including the total costs of multipurpose water projects where it is not feasible to separate out the transportation (navigation) or energy (power) segments of these projects.

10.904 Watershed Protection and Flood Prevention (B,K)
10.906 River Basin Surveys and Investigations (J,K)
12.100 Aquatic Plant Control (J,L)
12.101 Beach Erosion Control Projects (J)
12.102 Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (J)
12.103 Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (J)
12.104 Flood Plain Management Services (K,L)
12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)
12.106 Flood Control Projects (J)
12.107 Navigation Projects (J)
12.108 Snagging and Clearing for Flood Control (J)
12.109 Protection, Clearing and Straightening Channels (J)
12.110 Planning Assistance to States (J)
15.501 Irrigation Distribution System Loans (E)
15.502 Irrigation Systems Rehabilitation and Betterment (E)
15.503 Small Reclamation Projects (B,E)
15.950 National Water Research and Development Program (B)
15.951 Water Resources Research and Technology—Assistance to State Institutes (A)
15.952 Water Research and Technology—Matching Funds to State Institutes (B)
15.953 Water Resources Scientific Information Center (L)
65.001 Water Resources Planning (A)

### (302) Conservation and Land Management

This includes the costs of operating the public domain (including national forests), payments to encourage private land conservation activities, and surface mining reclamation efforts.

10.062 Water Bank Program (C)
10.063 Agricultural Conservation Program (C)
10.064 Forestry Incentives Program (C)
10.652 Forestry Research (B)
10.664 Cooperative Forestry Assistance (A,B)
10.669 Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area (B)
10.900 Great Plains Conservation (C,K)
10.901 Resource Conservation and Development (B,K)
10.902 Soil and Water Conservation (K)
10.903 Soil Survey (L)
10.905 Plant Materials for Conservation (H)
10.907 Snow Survey and Water Supply Forecasting (L)
10.908 Inventory and Monitoring (L)
10.909 Resource Appraisal and Program Development (B,L)
10.910 Rural Abandoned Mine Program (C,K)
11.419 Coastal Zone Management Program Administration (B)
11.420 Coastal Zone Management Estuarine Sanctuaries (B)
11.421 Coastal Energy Impact Program—Formula Grants (A)
15.206 Mineral Privileges (I)
15.207 Mineral Leasing (I)
15.214 Non-Sale Disposals of Mineral Material (H)
15.215 Sale of Mineral Material (H)
15.217 Cooperative Agreements With Interpretive Associations (I)
15.218 Special Recreation Permits (I)
15.219 Wildlife Habitat Management Technical Assistance (B)
15.220 Law Enforcement (B)
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)

### (303) Recreational Resources

These are programs involving the acquisition, improvement, and operation of recreational lands and facilities including fish and wildlife and parks. It also includes outlays for the preservation of historic areas.

15.600 Anadromous Fish Conservation (B)
15.601 Animal Damage Control (J,K,L,M)
15.602 Conservation Law Enforcement Training Assistance (M)
15.603 Farm Fish Pond Management (H)
15.604 Fishery Research—Information (L)
15.605 Fish Restoration (A,B)
15.606 Migratory Bird Banding and Data Analysis (L)
15.607 Environmental Contaminant Evaluation (K,L,M)
15.608 Sport Fish Technical Assistance (J)
15.609 Wildlife Technical Assistance (K,L,M)
15.610 Wildlife Ecology Research Information (L)
15.611 Wildlife Restoration (A,B)
15.612 Endangered Species Conservation (B)
15.613 Marine Mammal Grant Program (B)
15.900 Disposal of Surplus Wildlife (H)
15.904 Historic Preservation Grants-In-Aid (B)
15.909 Historic American Buildings Survey/Historic American Engineering Record (J,K,L)
15.910 National Natural Landmarks Program (J,L)
15.912 National Historic Landmark (K)
15.914 National Register of Historic Places (K)
15.915 Technical Preservation Services (J,K,L)
15.916 Outdoor Recreation—Acquisition, Development and Planning (B)
15.917 Recreation—Technical Assistance (K,L,M)
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (K)
15.919 Urban Park and Recreation Recovery Program (B)

### (304) Pollution Control and Abatement

This includes outlays for controlling and reducing air, water, and land pollution or that are specifically funded as an environmental enhancement program. It excludes water resources programs, water treatment plants, and similar programs that are not funded as part of an environmental enhancement activity.

10.068 Rural Clean Water Program (C)
66.001 Air Pollution Control Program Grants (B)
66.003 Air Pollution Control Manpower Training Grants (B)
66.006 Air Pollution Control—Technical Training (M)
66.007 Air Pollution Control—National Ambient Air and Source Emission Data (J)
66.008 Air Pollution Control—Technical Assistance (J,K,L)
66.009 Air Pollution Control—Technical Information Services (L)
66.418 Construction Grants for Wastewater Treatment Works (B)
66.419 Water Pollution Control—State and Interstate Program Grants (A)
66.423 Water Quality Control Information System—Orientation/Training Seminars, Data and Monitoring Publications (M)
66.425 Drinking Water Supply—Technical Assistance (K,L)
66.426 Water Pollution Control—State and Areawide Water Quality Management Planning (B)
66.432 State Public Water System Supervision Program Grants (B)
66.433 State Underground Water Source Protection—Program Grants (B)
66.438 Construction Management Assistance Grants (A)
66.451 Hazardous Waste Management Financial Assistance to States (A)
66.600 Environmental Protection Consolidated Grants—Program Support (A)
66.603 Loan Guarantees for Construction of Treatment Works (F)
66.700 Pesticides Enforcement Program Grants (B)

### (306) Other Natural Resources

This includes miscellaneous natural resources programs not classified in other subfunctions, such as marine, earth, and atmosphere-related research, and the cost of geological surveys and mapping.

11.400 Geodetic Surveys and Services (J,K,L)
11.401 Nautical Charts and Related Data (J,K,L)
11.402 Marine Boundary Program (J,K,L)
11.405 Anadromous and Great Lakes Fisheries Conservation (B)
11.407 Commercial Fisheries Research and Development (A)
11.411 Fishery Cooperative Services (K,L)
11.413 Fishery Products Inspection and Certification (J)
11.417 Sea Grant Support (B)
11.426 Financial Assistance for Marine Pollution Research (B)
11.428 Intergovernmental Climate—Demonstration Project (B)
15.800 Geologic and Mineral Resource Surveys and Mapping (J,L)
15.801 Cartographic Information (L)
15.803 National Mapping, Geography and Surveys (J,L)
15.804 Water Resources Investigations (J,L)

## (350) AGRICULTURE

This function includes those programs that promote the economic stability of agriculture and the Nation's capability to maintain and increase agricultural production. These objectives are accomplished through farm income stabilization programs, research and educational activities, programs that maintain agricultural markets, regulation of agricultural markets and practices, and maintenance of an adequate stockpile of agricultural commodities.

This function does not include programs which, though related to rural development, are not directly related to agriculture, such as rural environmental and conservation programs that are classified in the natural resources function. In addition, it excludes the costs connected with concessionary food export sales or food donations whether overseas or for domestic income support purposes.

### (351) Farm Income Stabilization

Loans, subsidies, and other payments for purposes of stabilizing agricultural prices at an equitable level. This includes the cost of acquisition and storage of agricultural commodity stockpiles but does not include the cost of foreign agricultural export losses (which are classified in the international affairs function) or domestic donations of food (which are part of an income support, rather than a farm price support, program).

10.051 Commodity Loans and Purchases (D,E)
10.052 Cotton Production Stabilization (D)
10.053 Dairy Indemnity Payments (D)
10.055 Feed Grain Production Stabilization (D)
10.056 Storage Facilities and Equipment Loans (E)
10.058 Wheat Production Stabilization (D)
10.059 National Wool Act Payments (D)
10.065 Rice Production Stabilization (D)
10.066 Emergency Feed Program (D)
10.067 Grain Reserve Program (D)
10.404 Emergency Loans (F)
10.406 Farm Operating Loans (F)
10.407 Farm Ownership Loans (F)
10.408 Grazing Association Loans (F)
10.409 Irrigation, Drainage, and Other Soil and Water Conservation Loans (F)
10.413 Recreation Facility Loans (F)
10.414 Resource Conservation and Development Loans (F)
10.416 Soil and Water Loans (F)
10.419 Watershed Protection and Flood Prevention Loans (F)
10.421 Indian Tribes and Tribal Corporation Loans (F)
10.428 Economic Emergency Loans (F)
10.450 Crop Insurance (G)
10.550 Food Distribution (A,H)

### (352) Agricultural Research and Services

This includes all other costs of agricultural programs including expenses for programs such as agricultural research and extension services.

10.001 Agricultural Research—Basic and Applied Research (B,L)
10.025 Plant and Animal Disease and Pest Control (J,L)
10.153 Market News (L)
10.154 Market Supervision and Assistance (J,K,M)
10.155 Marketing Agreements and Orders (J,K)
10.156 Federal-State Marketing Improvement Program (B)
10.162 Inspection Grading and Standardization (J)
10.163 Market Protection and Promotion (J,K,M)
10.164 Wholesale Market Development (K)
10.165 Perishable Agricultural Commodities Act (N)
10.200 Grants for Agricultural Research, Special Research Grants (B)
10.202 Cooperative Forestry Research (A)
10.203 Payments to Agricultural Experiment Stations Under Hatch Act (A)
10.205 Payments to 1890 Land-Grant Colleges and Tuskegee Institute (A)
10.206 Grants for Agricultural Research—Competitive Research Grants (B)
10.207 Animal Health and Disease Research (A)
10.208 Alcohol Fuels Research (B)
10.250 Agricultural and Rural Economic Research (L)
10.350 Technical Assistance to Cooperatives (K,L)
10.375 Human Nutrition Information Service (L)
10.477 Meat and Poultry Inspection (J)
10.500 Cooperative Extension Service (A)
10.700 National Agricultural Library (L)
10.800 Livestock and Poultry Market Supervision (N)
10.950 Agriculture Statistical Reports (L)

## (370) COMMERCE AND HOUSING CREDIT

This function includes the promotion and regulation of commerce and the housing and thrift insurance industries. Commerce includes the collection and dissemination of social and economic data unless they are an integral part of another function (such as health). This function includes general purpose loans and subsidies to business and to the housing industry. In general, credit and insurance programs are included in this function; however, if such programs are a means of achieving the basic objectives of another function and are an integral part of the programs of that function they are classified in the other function.

### (371) Mortgage Credit and Thrift Insurance

Includes homeownership and related loan and insurance programs, and insurance programs protecting depository thrift institutions.

10.405 Farm Labor Housing Loans and Grants (B,F)
10.410 Low to Moderate Income Housing Loans (F)
10.411 Rural Housing Site Loans (E,F)
10.415 Rural Rental Housing Loans (F)
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
10.427 Rural Rental Assistance Payments (C)
10.431 Technical and Supervisory Assistance Grants (B)
14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F)
14.105 Interest Reduction—Homes for Lower Income Families (C,F)
14.108 Rehabilitation Mortgage Insurance (F)
14.110 Manufactured (Mobile) Home Insurance—Financing Purchase of Mobile Homes as Principal Residences of Borrowers (F)
14.112 Mortgage Insurance—Construction or Substantial Rehabilitation of Condominium Projects (F)
14.115 Mortgage Insurance—Development of Sales Type Cooperative Projects (F)
14.116 Mortgage Insurance—Group Practice Facilities (F)
14.117 Mortgage Insurance—Homes (F)
14.118 Mortgage Insurance—Homes for Certified Veterans (F)
14.119 Mortgage Insurance—Homes for Disaster Victims (F)
14.120 Mortgage Insurance—Homes for Low and Moderate Income Families (F)
14.121 Mortgage Insurance—Homes in Outlying Areas (F)
14.122 Mortgage Insurance—Homes in Urban Renewal Areas (F)
14.123 Mortgage Insurance—Housing in Older, Declining Areas (F)
14.124 Mortgage Insurance—Investor Sponsored Cooperative Housing (F)
14.125 Mortgage Insurance—Land Development and New Communities (F)
14.126 Mortgage Insurance—Management Type Cooperative Projects (F)
14.127 Mortgage Insurance—Manufactured (Mobile) Home Parks (F)
14.128 Mortgage Insurance—Hospitals (F)
14.129 Mortgage Insurance—Nursing Homes and Intermediate Care Facilities (F)
14.130 Mortgage Insurance—Purchase by Homeowners of Fee Simple Title From Lessors (F)
14.132 Mortgage Insurance—Purchase of Sales-Type Cooperative Housing Units (F)
14.133 Mortgage Insurance—Purchase of Units in Condominiums (F)
14.134 Mortgage Insurance—Rental Housing (F)
14.135 Mortgage Insurance—Rental Housing for Moderate Income Families (F)
14.137 Mortgage Insurance—Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (F)
14.138 Mortgage Insurance—Rental Housing for the Elderly (F)
14.139 Mortgage Insurance—Rental Housing in Urban Renewal Areas (F)
14.140 Mortgage Insurance—Special Credit Risks (F)
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
14.151 Supplemental Loan Insurance—Multifamily Rental Housing (F)
14.152 Mortgage Insurance—Experimental Homes (F)
14.153 Mortgage Insurance—Experimental Projects Other Than Housing (F)
14.154 Mortgage Insurance—Experimental Rental Housing (F)
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
14.157 Housing for the Elderly or Handicapped (E)
14.159 Section 245 Graduated Payment Mortgage Program (F)
14.161 Single-Family Home Mortgage Coinsurance (F)
14.162 Mortgage Insurance—Combination and Mobile Home Lot Loans (F)
14.163 Mortgage Insurance—Cooperative Financing (F)
14.165 Mortgage Insurance—Homes—Military Impacted Areas (F)
14.166 Mortgage Insurance—Homes for Members of the Armed Services (F)
14.167 Mortgage Insurance—Two Year Operating Loss Loans, Section 223(d) (F)
44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)

### (372) Postal Service

Any net outlays of the postal service included in the budget (or off-budget).

### (376) Other Advancement and Regulation of Commerce

This includes loan programs designed to aid specialized forms of business such as small business) that are not included elsewhere in the functional structure. It also includes the costs of collection and dissemination of economic and demographic statistics (such as census data) and of regulation of business.

11.001 Census Bureau Data Products (L)
11.002 Census Data User Services (K,L,M)
11.003 Census Geography (J,L)
11.004 Census Intergovernmental Services (K,L,M)
11.005 Census Special Tabulations and Services (J,L)

| | |
|---|---|
| 11.006 | Personal Census Search (J) |
| 11.025 | Measures and Analyses of the U.S. Economy (L) |
| 11.027 | Productivity and Economic Growth (L) |
| 11.050 | Business Assistance, Services, and Information (K) |
| 11.100 | Export Licensing Service and Information (K) |
| 11.105 | Importation of Duty-Free Educational and Scientific Materials (J) |
| 11.106 | Antidumping Duties (J,N) |
| 11.107 | Countervailing Duty on Imports (J,N) |
| 11.108 | International Trade Promotion (K) |
| 11.109 | Trade Adjustment Assistance (TAA) (E,F) |
| 11.408 | Fishermen's Contingency Fund (C) |
| 11.409 | Fishing Vessel and Gear Damage Compensation Fund (C) |
| 11.410 | Fishermen's Guaranty Fund (G) |
| 11.415 | Fishing Vessel Obligation Guarantees (F) |
| 11.427 | Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B) |
| 11.551 | Public Telecommunications Services Program (B) |
| 11.601 | Calibration and Testing Services (L) |
| 11.603 | National Standard Reference Data System (L) |
| 11.604 | Standard Reference Materials (L) |
| 11.606 | Weights and Measures Service (K,L,M) |
| 11.650 | National Technical Information Service (L) |
| 11.651 | Science Information Exchange, Inc. (L) |
| 11.800 | Minority Business Development—Management and Technical Assistance (B) |
| 11.900 | Patent and Trademark Technical Information Dissemination (L) |
| 14.168 | Land Sales—Parcels of Subdivided Land (L,N) |
| 14.171 | Manufactured Housing—Mobile Home Construction (L,N) |
| 19.201 | Protection of Ships From Foreign Seizure (G) |
| 36.001 | Fair Competition Counseling and Investigation of Complaints (K,N) |
| 39.009 | Consumer Information Center (L) |
| 42.002 | Copyright Service (L) |
| 58.001 | Securities—Investigation of Complaints and SEC Information (L,N) |
| 59.003 | Economic Opportunity Loans for Small Businesses (E,F,K) |
| 59.005 | Management Assistance to Small Businesses (K,L,M) |
| 59.006 | Minority Business Development—Procurement Assistance (J) |
| 59.007 | Management and Technical Assistance for Disadvantaged Businessmen (B) |
| 59.009 | Procurement and Technical Assistance to Small Businesses (J) |
| 59.011 | Small Business Investment Companies (E,F,K) |
| 59.012 | Small Business Loans (E,F) |
| 59.013 | State and Local Development Company Loans (E,F) |
| 59.016 | Bond Guarantees for Surety Companies (F) |
| 59.021 | Handicapped Assistance Loans (E,F) |
| 59.026 | Service Corps of Retired Executives and Active Corps of Executives (K) |
| 59.030 | Small Business Energy Loans (E,F) |
| 59.031 | Small Business Pollution Control Financing Guarantee (F) |
| 59.032 | Office of Women's Business Enterprise (B) |
| 59.033 | Minority Small Business and Capital Ownership Development (J) |
| 59.034 | Small Business Economic Research (B) |
| 59.035 | Procurement Automated Source System (J) |
| 59.036 | Certified Development Company Loans (F) |
| 59.037 | Small Business Development Center (B,L) |
| 78.002 | Commodity Futures Market Reports (L) |
| 78.004 | Commodity Futures Reparations Claims (N) |

## (400) TRANSPORTATION

This function includes all programs with the primary aim of providing for the transportation of the general public and/or their property, regardless of whether local or national and regardless of the particular mode of transportation. It includes the construction of facilities; purchase of equipment; research, testing, and evaluation; provision of communications directly related to transportation (for example, air traffic control by the FAA); and operating subsidies for transportation facilities (such as airports) and industries (such as railroads. Transportation includes regulatory activities directed toward commerce (business) in general.

Excluded from this function are the costs of moving personnel or equipment as part of the operation of other government services; the provision of foreign economic assistance which may take the course of assisting transportation facilities or programs abroad; the construction of roads, trails, etc., as an integral part of the operation of public lands, parks, forests, or military reservations, unless they are specifically funded as a part of a broader transportation program; the construction of roads or other transportation facilities as an integral part of a broad community facility or regional development program where the clear intent of the program is regional development and the provisions of transportation facilities is only an incidental by-product or means to attain the objective of regional development. Also excluded from transportation are research and technology activities devoted to space research, except for aeronautical technology, even though this research may eventually redound to the advantage of general transportation.

### (401) Ground Transportation

Outlays to aid and/or regulate the various modes of ground transportation, such as roads and highways, railroads, and urban mass transit.

| | |
|---|---|
| 20.205 | Highway Planning and Construction (A,B) |
| 20.214 | Highway Beautification—Control of Outdoor Advertising, and Control of Junkyards (B) |
| 20.215 | Highway Training and Education (M) |
| 20.216 | Highway Educational Grants (B,M) |
| 20.217 | Motor Carrier Safety (M,N) |
| 20.301 | Railroad Safety (N) |
| 20.303 | Grants-in-Aid for Railroad Safety—State Participation (B) |
| 20.307 | Transportation Test Center (I) |
| 20.308 | Local Rail Service Assistance (A) |
| 20.309 | Railroad Rehabilitation and Improvement—Guarantee of Obligations (F) |
| 20.310 | Railroad Rehabilitation and Improvement—Redeemable Preference Shares (E) |
| 20.500 | Urban Mass Transportation Capital Improvement Grants (B) |
| 20.502 | Urban Mass Transportation Grants for University Research and Training (B) |
| 20.503 | Urban Mass Transportation Managerial Training Grants (B) |
| 20.504 | Mass Transportation Technology (B) |
| 20.505 | Urban Mass Transportation Technical Studies Grants (B) |
| 20.506 | Urban Mass Transportation Demonstration Grants (B) |
| 20.507 | Urban Mass Transportation Capital and Operating Assistance Formula Grants (A) |
| 20.509 | Public Transportation for Nonurbanized Areas (A) |
| 20.510 | Urban Mass Transportation Planning Methods Research and Development (B,L,M) |
| 20.600 | State and Community Highway Safety (A) |
| 41.001 | Interstate Commerce—Cooperative Enforcement Agreements With States (L) |
| 41.002 | Interstate Commerce—Investigation of Complaints (N) |

### (402) Air Transportation

Outlays to aid and/or regulate air transportation, including aeronautical research conducted by the National Aeronautics and Space Administration.

| | |
|---|---|
| 20.100 | Aviation Education (K,L) |
| 20.102 | Airport Development Aid Program (B,K) |
| 20.103 | Airport Planning Grant Program (B) |
| 20.105 | Loan Guarantees for Purchase of Aircraft and Spare Parts (F) |
| 26.002 | Air Transportation—Consumer Affairs (N) |
| 26.003 | Payments for Essential Air Services (C) |

### (403) Water Transportation

Outlays to aid and/or regulate maritime commerce. (To the extent that the data can readily be segregated, this should extend to include inland and deep draft navigation facilities of water resources projects.)

| | |
|---|---|
| 20.001 | Boating Safety (J,L,M) |
| 20.002 | Coast Guard Cooperative Marine Sciences Program (I) |
| 20.800 | Construction—Differential Subsidies (C) |
| 20.801 | Development and Promotion of Ports and Intermodal Transportation (K,L) |
| 20.802 | Federal Ship Financing Guarantees (F) |
| 20.803 | Maritime War Risk Insurance (G) |
| 20.804 | Operating—Differential Subsidies (C) |
| 20.806 | State Marine Schools (C,I) |
| 20.807 | U.S. Merchant Marine Academy (M) |
| 20.808 | Capital Construction Fund (C) |
| 20.809 | Development and Promotion of Domestic Waterborne Transport Systems (K,L) |
| 20.810 | Supplementary Training (M) |
| 20.811 | Research and Development Assistance (B) |
| 20.812 | Construction Reserve Fund (C) |
| 32.001 | Communications Information and Investigation of Complaints (L,N) |
| 33.001 | Shipping—Investigation of Complaints (N) |

### (407) Other Transportation

Outlays for general transportation programs and overhead not readily allocable into any of the preceding subfunctions.

| | |
|---|---|
| 20.700 | Gas Pipeline Safety (A) |

## (450) COMMUNITY AND REGIONAL DEVELOPMENT

This function consists of broad-based community, regional, urban and rural renewal and development programs. It includes grants and loans for water supply and sewer systems (except those specifically funded as environmental protection programs), urban community and economic development programs, regional economic development programs, broad-based public facility construction programs, and relief and rehabilitation of private and public facilities in the event of natural disasters. Aids to businesses such as loans, loan guarantees, and subsidies are not normally included in this function unless such aids are a means of economic development to aid restricted (generally depressed) areas and are not designed to promote particular lines of business for their own sake. Transportation facilities developed as an intergral part of a community development (rather than transportation) program are also included in this function.

As a normal rule, human development and services programs are excluded from this function (and included in the education, employment, training, and social services function). This function is confined to development of physical facilities or financial infrastructures designed to promote viable community economies.

**(451) Community Development**

This subfunction includes grants and related programs designed to aid community (largely urban) development. It includes community development block grants and predecessor activities such as the urban renewal and model cities programs. Community development programs are generally carried out by the Department of Housing and Urban Development.

| | |
|---|---|
| 14.207 | New Communities—Loan Guarantees (F) |
| 14.211 | Surplus Land for Low and Moderate Income Housing (H,K) |
| 14.218 | Community Development Block Grants/Entitlement Grants (A) |
| 14.219 | Community Development Block Grants/Small Cities Program (B) |
| 14.220 | Section 312 Rehabilitation Loans (E) |
| 14.221 | Urban Development Action Grants (B) |
| 14.222 | Urban Homesteading (H) |
| 14.228 | Community Development Block Grants/State's Program (A) |
| 14.229 | Community Development Block Grants/Secretary's Discretionary Fund (B,C) |
| 14.401 | Fair Housing Assistance Program (B) |
| 14.506 | General Research and Technology Activity (B) |
| 83.101 | Urban Property Insurance (G) |
| 83.102 | Crime Insurance (G) |
| 83.501 | State Assistance Program (B) |
| 83.502 | Acquisition of Flood-Damaged Structures (H) |

**(452) Area and Regional Development**

Grants, loans, subsidies, and related aids to economic development or depressed areas that are generally either primarily for rural areas or else are more regional in nature or purpose than the community development programs. Area and regional development programs are generally carried out by agencies other than the Department of Housing and Urban Development, such as the Farmers Home Administration, Economic Development Administration, and Bureau of Indian Affairs.

| | |
|---|---|
| 10.418 | Water and Waste Disposal Systems for Rural Communities (B,E) |
| 10.422 | Business and Industrial Loans (F) |
| 10.423 | Community Facilities Loans (F) |
| 10.852 | Rural Telephone Bank Loans (E) |
| 11.300 | Economic Development—Grants for Public Works and Development Facilities (B) |
| 11.301 | Economic Development—Business Development Assistance (E,F) |
| 11.302 | Economic Development—Support for Planning Organizations (B) |
| 11.303 | Economic Development—Technical Assistance (B) |
| 11.304 | Economic Development—Public Works Impact Projects (B) |
| 11.305 | Economic Development—State and Local Economic Development Planning (B) |
| 11.306 | Economic Development—District Operational Assistance (B) |
| 11.307 | Special Economic Development and Adjustment Assistance Program—Long-Term Economic Deterioration (B) |
| 11.422 | Coastal Energy Impact Program—Planning Grants (B) |
| 11.423 | Coastal Energy Impact Program—Loans and Guarantees (E) |
| 11.424 | Coastal Energy Impact Program—Environmental Grants (B) |
| 11.425 | Coastal Energy Impact Program—Outer Continental Shelf State Participation Grants (B) |
| 15.103 | Indian Social Services—Child Welfare Assistance (D) |
| 15.108 | Indian Employment Assistance (B,K) |
| 15.113 | Indian Social Services—General Assistance (D) |
| 15.123 | Indian Loans—Claims Assistance (E) |
| 15.124 | Indian Loans—Economic Development (E,F,J) |
| 15.141 | Indian Housing Assistance (B,K,L,M) |
| 15.142 | Self Determination Grants—Indian Tribal Governments (B) |
| 15.143 | Training and Technical Assistance—Indian Tribal Governments (B,J,K,M) |
| 15.144 | Indian Child Welfare Act—Title II Grants (B) |
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |
| 23.002 | Appalachian Supplements to Federal Grant-in-Aid (Community Development) (B) |
| 23.003 | Appalachian Development Highway System (B) |
| 23.004 | Appalachian Health Programs (B) |
| 23.005 | Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (B) |
| 23.008 | Appalachian Local Access Roads (B) |
| 23.009 | Appalachian Local Development District Assistance (B) |
| 23.010 | Appalachian Mine Area Restoration (B) |
| 23.011 | Appalachian State Research, Technical Assistance, and Demonstration Projects (B) |
| 23.012 | Appalachian Vocational and Other Education Facilities and Operations (B) |
| 23.013 | Appalachian Child Development (B) |
| 23.017 | Appalachian Special Transportation Related Planning, Research and Demonstration Program (B) |

**(453) Disaster Relief and Insurance**

This subfuction includes those Federal programs uniquely devoted to assist communities to recover from natural disasters and assist families on an emergency basis when they are adversely affected by such disasters.

| | |
|---|---|
| 10.054 | Emergency Conservation Program (C) |
| 59.002 | Economic Injury Disaster Loans (E,F) |
| 59.008 | Physical Disaster Loans (E,F) |
| 83.002 | State Fire Incident Reporting Assistance (B) |
| 83.003 | Public Education Assistance Program (B) |
| 83.004 | Technical Support Services (J) |
| 83.005 | Arson Task Force Assistance Program (J,K,L) |
| 83.007 | Reimbursement for Firefighting on Federal Property (C) |
| 83.100 | Flood Insurance (G) |
| 83.404 | Academy Planning Assistance (B) |
| 83.405 | Student Stipend Program (C) |
| 83.505 | State Disaster Preparedness Grants (B) |
| 83.506 | Earthquake and Hurricane Loss Study and Contingency Planning Grants (B) |
| 83.516 | Disaster Assistance (B,I,J) |

## (500) EDUCATION, TRAINING, EMPLOYMENT, AND SOCIAL SERVICES

This function includes those outlays designed to promote the general extension of knowledge and skills, to provide public services to needy individuals, and/or to assist individuals to become self-supporting members of society. It includes the provision of education or training child care services, employment counselling, vocational rehabilitation, and other social services provided to individuals and families. It also includes cash payments (scholarships, loans, or stipends) to persons when such payments are provided to enable a person to participate in education or training programs; it includes programs designed to provide services to the poor (such as community services) that are not an integral part of some other function, and also includes the costs of research directly related to the programs in this function.

This function excludes education or training undertaken as an integral part of the achievement of another functional end (such as training of military personnel; veterans education, training, and rehabilitation; or training of health workers in a health program) and also excludes general purpose scientific research. Nutrition or food service programs that are funded separately from social services or education shall be included as income security rather than being included in this function.

| | |
|---|---|
| 13.600 | Administration for Children, Youth and Families—Head Start (B) |
| 13.608 | Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B) |
| 13.612 | Native American Programs—Financial Assistance Grants (B) |
| 13.613 | Mental Retardation—President's Committee on Mental Retardation (L) |
| 13.623 | Administration for Children, Youth and Families—Runaway Youth (B) |
| 13.628 | Child Abuse and Neglect Prevention and Treatment (A,B) |
| 13.630 | Administration on Developmental Disabilities—Basic Support and Advocacy Grants (A) |
| 13.631 | Administration on Developmental Disabilities—Special Projects (B) |
| 13.632 | Administration on Developmental Disabilities—University Affiliated Facilities (B) |
| 13.633 | Special Programs for the Aging—Title III, Parts A and B—Grants for Supportive Services and Senior Centers (A) |
| 13.635 | Special Programs for the Aging—Title III, Part C—Nutrition Services (A) |
| 13.647 | Social Services Research and Demonstration (B) |
| 13.648 | Child Welfare Services Training Grants (B) |
| 13.652 | Administration for Children, Youth and Families—Adoption Opportunities (B) |
| 13.655 | Special Programs for the Aging—Title VI—Grants to Indian Tribes (B) |
| 13.658 | Foster Care—Title IV—E (A) |
| 13.661 | Native American Programs—Research, Demonstration, and Evaluation (B) |
| 13.662 | Native American Programs—Training and Technical Assistance (B) |
| 13.668 | Special Programs for the Aging—Title IV—Training, Research and Discretionary Projects and Programs (B) |
| 13.818 | Low-Income Home Energy Assistance (A) |
| 13.839 | Blood Diseases and Resources Research (B) |
| 84.116 | Fund for the Improvement of Postsecondary Education (B) |
| 84.145 | Federal Real Property Assistance Program (H) |

### (501) Elementary, Secondary, and Vocational Education

This includes pre-school, elementary, secondary and vocational education programs.

| | |
|---|---|
| 15.114 | Indian Education—Higher Education Grant Program (B) |
| 15.130 | Indian Education—Assistance to Schools (C) |
| 84.002 | Adult Education—State-Administered Program (A) |
| 84.003 | Bilingual Education (B,C) |
| 84.004 | Civil Rights Technical Assistance and Training (B) |
| 84.009 | Program for Education of Handicapped Children in State Operated or Supported Schools (A) |
| 84.010 | Educationally Deprived Children—Local Educational Agencies (A) |
| 84.011 | Migrant Education—Basic State Formula Grant Program (A) |
| 84.012 | Educationally Deprived Children—State Administration (A) |
| 84.013 | Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (A) |
| 84.014 | Follow Through (B) |
| 84.023 | Handicapped—Research and Demonstration (B) |
| 84.024 | Handicapped Early Childhood Assistance (B) |
| 84.025 | Handicapped Innovative Programs—Deaf-Blind Centers (B) |
| 84.026 | Handicapped Media Services and Captioned Films (B,C) |
| 84.027 | Handicapped Preschool and School Programs (A) |
| 84.028 | Handicapped Regional Resource Centers (B) |
| 84.029 | Handicapped Personnel Preparation (B) |
| 84.030 | Handicapped Teacher Recruitment and Information (B) |
| 84.040 | School Assistance in Federally Affected Areas—Construction (B) |
| 84.041 | School Assistance in Federally Affected Areas—Maintenance and Operation (A) |
| 84.048 | Vocational Education—Basic Grants to States (A) |
| 84.049 | Vocational Education—Consumer and Homemaking Education (A) |
| 84.050 | Vocational Education—Program Improvement and Supportive Service (A) |
| 84.051 | Vocational Education—Program Improvement Projects (B) |
| 84.052 | Vocational Education—Special Programs for the Disadvantaged (A) |
| 84.053 | Vocational Education—State Advisory Councils (A) |
| 84.060 | Indian Education—Entitlement Grants to Local Educational Agencies and Tribal Schools (B) |
| 84.061 | Indian Education—Special Programs and Projects (B) |
| 84.062 | Indian Education—Adult Indian Education (B) |
| 84.067 | Use of Technology in Basic Skills Instruction (B) |
| 84.072 | Indian Education—Grants to Indian Controlled Schools (B) |
| 84.073 | National Diffusion Network (B,K,L) |
| 84.077 | Bilingual Vocational Training (B,C) |
| 84.078 | Regional Education Programs for Deaf and Other Handicapped Persons (B) |
| 84.083 | Women's Educational Equity (B) |
| 84.086 | Innovative Programs for Severely Handicapped Children (B) |
| 84.087 | Indian Education—Fellowships for Indian Students (B) |
| 84.099 | Bilingual Vocational Instructor Training (B,C) |
| 84.100 | Bilingual Vocational Instructional Materials, Methods, and Techniques (B,C) |
| 84.101 | Vocational Education—Program for Indian Tribes and Indian Organizations (B) |
| 84.121 | Vocational Education—State Planning and Evaluation (A) |
| 84.124 | Territorial Teacher Training Assistance Program (B) |
| 84.141 | Migrant Education—High School Equivalency Program (B) |
| 84.143 | Emergency School Aid Act—Evaluation Contracts (C) |
| 84.144 | Migrant Education—Interstate and Intrastate Coordination Program (B) |
| 84.146 | Transition Program for Refugee Children (A,C) |
| 84.148 | Allen J. Ellender Fellowship Program (B) |
| 84.149 | Migrant Education—College Assistance Migrant Program (B) |
| 84.151 | Education Consolidation and Improvement Programs—Chapter 2 (A) |
| 84.152 | Neglected or Delinquent Transition Services (B) |

### (502) Higher Education

This includes college level and graduate school education programs.

| | |
|---|---|
| 84.007 | Supplemental Educational Opportunity Grants (C) |
| 84.015 | National Resource Centers and Fellowships in International Studies (B) |
| 84.016 | Undergraduate International Studies and Foreign Language Programs (B) |
| 84.017 | International Research and Studies (B) |
| 84.018 | Teacher Exchange (B) |
| 84.019 | Fulbright-Hays Training Grants—Faculty Research Abroad (B) |
| 84.020 | Fulbright-Hays Training Grants—Foreign Curriculum Consultants (B,J) |
| 84.021 | Fulbright-Hays Training Grants—Group Projects Abroad (B) |
| 84.022 | Fulbright-Hays Training Grants—Doctoral Dissertation Research Abroad (B) |
| 84.031 | Higher Education—Strengthening Developing Institutions (B) |
| 84.032 | Higher Education Act Insured Loans (F) |
| 84.033 | College Work—Study Program (C) |
| 84.037 | National Defense/Direct Student Loan Cancellations (C,D) |
| 84.038 | National Defense/Direct Student Loans (C) |
| 84.042 | Special Services for Disadvantaged Students (B) |
| 84.044 | Talent Search (B) |
| 84.046 | Continuing Education Outreach—State Administered Program (A) |
| 84.047 | Upward Bound (B) |
| 84.055 | Higher Education—Cooperative Education (B) |
| 84.063 | Pell Grant Program (C) |
| 84.064 | Higher Education—Veterans' Cost of Instruction Program (C) |
| 84.066 | Educational Opportunity Centers (B) |
| 84.069 | Grants to States for State Student Incentives (A) |
| 84.094 | Graduate and Professional Study (B) |
| 84.097 | Law School Clinical Experience Program (B) |
| 84.103 | Training for Special Programs Staff and Leadership Personnel (B) |
| 84.120 | Minority Institutions Science Improvement Program (B) |
| 84.135 | Aid to Land-Grant Colleges (B) |
| 84.136 | Legal Training for the Disadvantaged (B) |
| 84.142 | Housing for Educational Institutions (E) |
| 85.001 | Harry S. Truman Scholarship Program (C) |

### (503) Research and General Education Aids

This includes assistance for the arts, the humanities, educational radio and television, public libraries, and museums.

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| 11.550 | Public Telecommunications Facilities (B) |
| 42.001 | Books for the Blind and Physically Handicapped (I) |
| 42.003 | Distribution of Library of Congress Cataloging (L) |
| 42.005 | Library of Congress Publications (L) |
| 42.006 | Library of Congress Research Services (K,L) |
| 42.007 | Reference Services in Science and Technology (L) |
| 45.001 | Promotion of the Arts—Design Arts (B,C) |
| 45.002 | Promotion of the Arts—Dance (B,C) |
| 45.003 | Promotion of the Arts—Artists-in-Education (B) |
| 45.004 | Promotion of the Arts—Literature (B) |
| 45.005 | Promotion of the Arts—Music (B,C) |
| 45.006 | Promotion of the Arts—Media Arts: Film/Radio/Television (B) |
| 45.007 | Promotion of the Arts—State Programs/Partnership Coordination (A,B,K) |
| 45.008 | Promotion of the Arts—Theatre (B) |
| 45.009 | Promotion of the Arts—Visual Arts (B) |
| 45.010 | Promotion of the Arts—Expansion Arts (B) |
| 45.011 | Promotion of the Arts—Inter-Arts (B) |
| 45.012 | Promotion of the Arts—Museums (B) |
| 45.013 | Promotion of the Arts—Challenge Grants (B) |
| 45.014 | Promotion of the Arts—Opera and Musical Theatre (B) |
| 45.015 | Promotion of the Arts—Folk Arts (B) |
| 45.020 | Promotion of the Arts—National Endowment Fellowship Program (B) |
| 45.104 | Promotion of the Humanities—Media Humanities Projects (B) |
| 45.109 | Promotion of the Humanities—Fellowships for Journalists (B) |
| 45.111 | Promotion of the Humanities—Higher Education/Regional and National Grants (B) |
| 45.113 | Promotion of the Humanities—Program Development (B) |
| 45.115 | Promotion of the Humanities—Youthgrants (B) |
| 45.116 | Promotion of the Humanities—Summer Seminars for College Teachers (B) |
| 45.121 | Promotion of the Humanities—Summer Stipends (B) |
| 45.122 | Promotion of the Humanities—Fellowships at Centers for Advanced Study (B) |
| 45.123 | Promotion of the Humanities—Consultant Grant Program (B) |
| 45.124 | Promotion of the Humanities—Research Resources—Organization and Improvement Grants (B) |
| 45.125 | Promotion of the Humanities—Humanities Projects in Museums and Historical Organizations (B) |
| 45.127 | Promotion of the Humanities—Elementary and Secondary Education Program (B) |
| 45.128 | Promotion of the Humanities—Planning and Assessment Studies Program (B) |
| 45.129 | Promotion of the Humanities—State Programs (B) |
| 45.130 | Promotion of the Humanities—Challenge Grants Program (C) |
| 45.132 | Promotion of the Humanities—Research Materials: Publications (B) |
| 45.133 | Promotion of the Humanities—Science, Technology and Human Values (B) |
| 45.134 | Promotion of the Humanities—Research Conferences (B) |
| 45.135 | Promotion of the Humanities—Youth Projects (B) |
| 45.137 | Promotion of the Humanities—Division of Public Programs, Humanities Projects in Libraries (B) |
| 45.138 | Promotion of the Humanities—Education Pilot Grants (B) |
| 45.139 | Promotion of the Humanities—Education Implementation Grants (B) |
| 45.140 | Promotion of the Humanities—Basic Research (B) |
| 45.141 | Promotion of the Humanities—State, Local, and Regional Studies (B) |
| 45.142 | Promotion of the Humanities—Fellowships for Independent Study and Research (B) |

45.143 Promotion of the Humanities—Fellowships for College Teachers (B)
45.145 Promotion of the Humanities—Research Materials/Tools and Reference Works (B)
45.146 Promotion of the Humanities—Research Materials/Editions (B)
45.147 Promotion of the Humanities—Research Materials/Translations (B)
45.148 Promotion of the Humanities—Intercultural Research Program (B)
45.149 Promotion of the Humanities—Research Resources-Conservation and Preservation Grants (B)
45.201 Arts and Artifacts Indemnity (G)
45.301 Institute of Museum Services (D)
60.001 Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (B,I,J,K,M)
60.007 Museums—Assistance and Advice (B,K,L,M)
60.013 Smithsonian Institution Traveling Exhibition Service (I,J)
60.016 Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (B,C)
60.020 Woodrow Wilson International Center for Scholars—Fellowships and Guest Scholar Programs (B,I)
68.001 National Gallery of Art Extension Service (I)
84.005 College Library Resources (B)
84.034 Public Library Services (A)
84.035 Interlibrary Cooperation (A)
84.036 Library Career Training (B)
84.039 Library Research and Demonstration (B)
84.065 Educational Television and Radio Programming (B)
84.091 Strengthening Research Library Resources (B)
84.117 Educational Research and Development (B)

### (504) Training and Employment

This includes programs of job or skill training, employment services and placement, and payments to employers to subsidize employment of marginal, unemployed, or low income workers.

10.663 Young Adult Conservation Corps—Grants to States (B)
13.646 Work Incentive Program (A)
17.201 Apprenticeship Training (K)
17.202 Certification of Foreign Workers for Temporary Agricultural and Logging Employment (J,N)
17.203 Certification for Immigrant Workers (J)
17.207 Employment Service (A,J,K)
17.225 Unemployment Insurance (A,D)
17.230 Migrant and Seasonal Farmworkers (A,B)
17.232 Comprehensive Employment and Training Programs (A,B)
17.233 Employment and Training Research and Development Projects (B)
17.234 Employment and Training—Indians and Native Americans (A,B)
17.235 Senior Community Service Employment Program (A,B)
17.243 Special National Programs and Activities for the Disadvantaged (B)
17.800 Exemplary Rehabilitation Certificates (J)

### (505) Other Labor Services

This includes aids to or regulation of the labor market (including gathering labor statistics and mediation and conciliation services) other than employment and training programs, and other than occupational safety and health programs.

17.002 Labor Force Statistics (L)
17.003 Prices and Cost of Living Data (L)
17.004 Productivity and Technology Data (L)
17.005 Wages and Industrial Relations Data (L)
17.006 Economic Growth Data (L)
17.100 Labor-Management Relations Services (K,L)
17.101 Labor Organization Reports (K,L,N)
17.102 Veterans Reemployment Rights (K,L,N)
17.103 Pension and Welfare Benefit Programs (L)
17.301 Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (L,N)
17.303 Minimum Wage and Hour Standards (K,N)
17.306 Consumer Credit Protection (K,N)
17.308 Farm Labor Contractor Registration (K,N)
17.700 Women's Special Employment Assistance (K,L)
34.001 Labor Mediation and Conciliation (J,K)
34.002 Labor—Management Cooperation (B)
46.001 Labor-Management Relations (J,N)
53.001 Handicapped Employment Promotion (K,L)

### (506) Social Services

This is composed of two forms of activities: (a) programs involving the provision of a broad range of services to individuals to assist them to improve their vocational capabilities (vocational rehabilitation) or family status, and (b) provision of services to the poor and elderly that are not primarily for income support and that are not an integral part of some other function (for example, community action programs).

13.645 Child Welfare Services—State Grants (A)
13.665 Community Services Block Grant (A)
13.667 Social Services Block Grant (A)
13.678 Consumer Affairs (K,L)
14.169 Housing Counseling Program (B)
72.001 The Foster Grandparent Program (B)
72.002 Retired Senior Volunteer Program (B)
72.003 Volunteers in Service to America (J)
72.005 National Center for Service-Learning (B,J,K,L,M)
72.008 The Senior Companion Program (B)
72.010 Mini-Grant Program (B)
72.011 State Office of Voluntary Citizen Participation (B)
72.012 Volunteer Demonstration Program (B)
72.013 Technical Assistance Program (B)
84.125 Clearinghouse on the Handicapped (K,L)
84.126 Rehabilitation Services—Basic Support (A)
84.128 Rehabilitation Services—Special Projects (B)
84.129 Rehabilitation Training (B)
84.132 Centers for Independent Living (B)
84.133 National Institute of Handicapped Research (B)

## (550) HEALTH

This function includes those programs that have as their basic purpose the promotion of the physical and mental health of the nation's population, including the prevention of illness and accidents. It includes planning, financing, and provision of medical care; research into the causes and cure of disease; the financing of specialized programs for training of health workers and researchers; and promotion of consumer and occupational health and safety.

Excluded from the health function are Federal health care costs that are an integral part of another function, such as medical care for military personnel and for veterans. General scientific research that has medical applications (such as that conducted by the National Science Foundation) and health programs financed through foreign assistance programs are also excluded from the health function.

13.111 Adolescent Family Life Research Grants (B)
13.226 Health Services Research and Development—Grants (B)
13.242 Mental Health Research Grants (B)
13.243 Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (L)
13.244 Mental Health Clinical or Service Related Training Grants (B)
13.256 Health Maintenance Organizations (B,E,F)
13.262 Occupational Safety and Health Research Grants (B)
13.263 Occupational Safety and Health—Training Grants (B)
13.268 Childhood Immunization Grants (B)
13.271 Alcohol Research Scientist Development and Research Scientist Awards (B)
13.272 Alcohol National Research Service Awards for Research Training (B)
13.273 Alcohol Research Programs (B)
13.274 Alcohol Clinical or Service Related Training Programs (B)
13.277 Drug Abuse Research Scientist Development and Research Scientist Awards (B)
13.278 Drug Abuse National Research Service Awards for Research Training (B)
13.279 Drug Abuse Research Programs (B)
13.280 Drug Abuse Clinical or Service Related Training Programs (B)
13.281 Mental Health Research Scientist Development and Research Scientist Awards (B)
13.282 Mental Health National Research Service Awards for Research Training (B)
13.283 Center for Disease Control—Investigations, and Technical Assistance (J,K,L,M)
13.289 President's Council on Physical Fitness and Sports (J,K,L,M)
13.293 State Health Planning and Development Agencies (B)
13.294 Health Planning—Health Systems Agencies (B)
13.297 National Research Service Awards (B)
13.298 Nurse Practitioner Training Program and Nurse Practitioner Traineeships (B)
13.299 Advanced Nurse Training Program (B)
13.306 Laboratory Animal Sciences and Primate Research (B)
13.333 Clinical Research (B)
13.337 Biomedical Research Support (B)
13.339 Health Professions—Capitation Grants (B)
13.358 Professional Nurse Traineeships (B)
13.359 Nurse Training Improvement—Special Projects (B)
13.361 Nursing Research Project Grants (B)
13.371 Biotechnology Research (B)
13.375 Minority Biomedical Research Support (B)
13.379 Grants for Graduate Training in Family Medicine (B)
13.381 Health Professions—Financial Distress Grants (B)
13.384 Health Professions—Start-Up Assistance (B)
13.392 Cancer—Construction (B)
13.393 Cancer Cause and Prevention Research (B)
13.394 Cancer Detection and Diagnosis Research (B)
13.395 Cancer Treatment Research (B)
13.396 Cancer Biology Research (B)

13.397 Cancer Centers Support (B)
13.398 Cancer Research Manpower (B)
13.399 Cancer Control (B)
13.766 Health Financing Research, Demonstrations and Experiments (B)
13.776 Professional Standards Review Organizations (B)
13.777 State Health Care Providers Survey Certification (A,B)
13.821 Physiology and Biomedical Engineering (B)
13.822 Health Careers Opportunity Program (B)
13.823 Primary Care Research and Demonstration Projects (B)
13.824 Area Health Education Centers (B)
13.837 Heart and Vascular Diseases Research (B)
13.838 Lung Diseases Research (B)
13.840 Caries Research (B)
13.841 Periodontal Diseases Research (B)
13.842 Craniofacial Anomalies Research (B)
13.843 Restorative Materials Research (B)
13.844 Pain Control and Behavioral Studies (B)
13.845 Dental Research Institutes (B)
13.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)
13.847 Diabetes, Endocrinology and Metabolism Research (B)
13.848 Digestive Diseases and Nutrition Research (B)
13.849 Kidney Diseases, Urology and Hematology Research (B)
13.853 Clinical Research (B)
13.854 Biological Basis Research (B)
13.855 Immunology, Allergic and Immunologic Diseases Research (B)
13.856 Microbiology and Infectious Diseases Research (B)
13.859 Pharmacological Sciences (B)
13.862 Genetics Research (B)
13.863 Cellular and Molecular Basis of Disease Research (B)
13.864 Population Research (B)
13.865 Research for Mothers and Children (B)
13.866 Aging Research (B)
13.867 Retinal and Choroidal Diseases Research (B)
13.868 Corneal Diseases Research (B)
13.869 Cataract Research (B)
13.870 Glaucoma Research (B)
13.871 Strabismus, Amblyopia and Visual Processing (B)
13.878 Soft Tissue Stomatology and Nutrition Research (B)
13.879 Medical Library Assistance (B)
13.880 Minority Access to Research Careers (B)
13.884 Grants for Residency Training in General Internal Medicine and/or General Pediatrics (B)
13.886 Grants for Physician Assistant Training Program (B)
13.891 Alcohol Research Center Grants (B)
13.892 Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (B)
13.893 Mechanisms of Environmental Diseases and Disorders (B)
13.894 Environmental Health Research and Manpower Development Resources (B)
13.895 Grants for Faculty Development in Family Medicine (B)
13.896 Grants for Predoctoral Training in Family Medicine (B)
13.897 Residency Training in the General Practice of Dentistry (B)
13.962 Health Administration Graduate Traineeships (B)
13.963 Graduate Programs in Health Administration (B)
13.964 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (B)
13.969 Curriculum Development Grants (B)
13.977 Preventive Health Services—Venereal Disease Control Grants (B)
13.978 Preventive Health Services—Venereal Disease Research, Demonstration, and Public Information and Education Grants (B)
13.982 Mental Health Disaster Assistance and Emergency Mental Health (B)
13.984 Grants for Establishment of Departments of Family Medicine (B)
13.985 Eye Research—Facility Construction (B)
13.987 Health Programs for Refugees (B)
13.988 Cooperative Agreements for State—Based Diabetes Control Programs (B)
13.990 National Health Promotion Training Network (B)
13.991 Preventive Health and Health Services Block Grant (A)
13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (A)
13.995 Adolescent Family Life Demonstration Projects (B)

**(551) Health Care Services**

This includes the costs of financing the provision of medical services to individuals and families whether such services are provided directly by the Federal Government or financed through grants, contracts, insurance, or reimbursements.

13.110 Maternal and Child Health Federal Consolidated Programs (B)
13.217 Family Planning Projects (B)
13.224 Community Health Centers (B)
13.228 Indian Health Services—Health Management Development Program (B)
13.246 Migrant Health Centers Grants (B)
13.256 Health Maintenance Organizations (B,E,F)
13.258 National Health Service Corps (J)
13.260 Family Planning Services (B)
13.288 National Health Service Corps Scholarship Program (B)
13.342 Health Professions—Student Loans (B)
13.363 Nursing Scholarships (B)
13.364 Nursing Student Loans (B)
13.714 Medical Assistance Program (A)
13.773 Medicare—Hospital Insurance (C)
13.774 Medicare—Supplementary Medical Insurance (C)
13.820 Scholarships for First-Year Students of Exceptional Financial Need (B)
13.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)
13.970 Health Professions Recruitment Program for Indians (B)
13.971 Health Professions Preparatory Scholarship Programs for Indians (B)
13.972 Health Professions Scholarship Program for Indians (B)
13.973 Special Loans for Former National Health Service Corps Members to Enter Private Practice (E)
13.974 Family Planning Services Delivery Improvement Research Grants (B)
13.983 Health Facility Energy Cost Management (K,L)
13.994 Maternal and Child Health Services Block Grant (A)

**(552) Health Research**

This includes the cost of all research programs -whether basic or applied - that are financed specifically as health or medical research. It excludes research that is an integral part of other functions (such as biomedical research in the space program).

13.989 Senior International Awards Program (B)

**(553) Education and Training of Health Care Work Force**

This includes any education or training program specifically funded as a health program and restricted to training individuals who are working or expect to work in health or health-related fields.

13.108 Health Education Assistance Loans (F)

**(554) Consumer and Occupational Health and Safety**

This includes such programs as meat and poultry inspection, food and drug inspection, consumer product safety, and occupational safety.

10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)
10.477 Meat and Poultry Inspection (J)
13.103 Food and Drug Administration—Research (B)
17.500 Occupational Safety and Health (B,K,L,M,N)
17.600 Mine Health and Safety Grants (B)
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)
17.602 Mine Health and Safety Education and Training (K,M)
87.001 Voluntary Standards Assistance (K)

## (600) INCOME SECURITY

This function includes payments for or to persons for which no current service is rendered. It includes retirement (excluding military retired pay), disability, unemployment, and welfare payments and the associated administrative costs. Also included in income security are the food stamp, special milk, and child nutrition programs (whether the benefits are in cash or kind); both Federal and trust fund unemployment compensation and workmen's compensation; public assistance cash payments; benefits to the elderly and to coal miners; and low and moderate-income housing aids.

Excluded from this function are financial assistance for educational purposes, provision or reimbursement for child care services and stipends, medical care (whether in cash or kind), and subsidies to businesses (such as farm price supports) even though they may end up as income to persons. Also excluded are income security programs restricted to veterans and their dependents.

**(601) General Retirement and Disability Insurance**

This includes non-needs-tested retirement and disability programs except for those specifically restricted to Federal employees. Most programs in this subfunction are financed through trust fund mechanisms but it includes some Federal funds programs such as payments to coal miners. The subfunction is normally subdivided into two major components for purposes of budget presentation: (a) social security, which is composed of the old age, survivors and disability insurance trust funds except for the payments they make to the railroad retirement fund; and (b) other, which is composed mainly of the railroad retirement fund and special benefits for coal miners.

13.802 Social Security—Disability Insurance (D)
13.803 Social Security—Retirement Insurance (D)
13.804 Social Security—Special Benefits for Persons Aged 72 and Over (D)
13.805 Social Security—Survivors Insurance (D)
13.806 Special Benefits for Disabled Coal Miners (D)
17.302 Longshoremen's and Harbor Workers' Compensation (D)

17.307 Coal Mine Workers' Compensation (D)
57.001 Social Insurance for Railroad Workers (D)
86.001 Pension Plan Termination Insurance (G)

**(602) Federal Employee Retirement and Disability**

Includes all funded retirement and disability programs restricted to Federal employees. In those cases where there are no retirement funds (such as in the cases of Military and Coast Guard retired pay) the case benefits are included in the function where the employees were employed (in these cases national defense and transportation, respectively) because otherwise those functions would never be charged anything for the retirement costs of their employees.

**(603) Unemployment Compensation**

Benefits for unemployed workers that are not conditioned by needs tests. This subfunction does not include other benefits (such as food stamps) that an unemployed person might be eligible for under any other program.

17.225 Unemployment Insurance (A,D)
17.245 Trade Adjustment Assistance—Workers (D,J)
57.002 Benefits for Milwaukee Railroad Workers (D,J)

**(604) Public Assistance and Other Income Supplements**

Federal income support and related expenses that are specifically for and limited to financing or providing housing for individuals and families.

10.155 Marketing Agreements and Orders (J,K)
10.405 Farm Labor Housing Loans and Grants (B,F)
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
10.420 Rural Self-Help Housing Technical Assistance (B)
13.679 Child Support Enforcement (A,J)
13.807 Supplemental Security Income (D)
13.808 Assistance Payments—Maintenance Assistance (A)
13.810 Assistance Payments—State and Local Training (A)
13.812 Assistance Payments—Research (B)
13.814 Refugee Assistance—State Administered Programs (D)
13.815 Refugee Assistance—Voluntary Agency Programs (B)
13.817 Entrant Assistance—Cuban and Haitian Entrants (D)
14.103 Interest Reduction Payments—Rental and Cooperative Housing for Lower Income Families (C,F)
14.105 Interest Reduction—Homes for Lower Income Families (C,F)
14.141 Nonprofit Sponsor Assistance Program (E)
14.146 Low Income Housing—Assistance Program (C,E)
14.147 Low Income Housing—Homeownership Opportunities for Low Income Families (C,E)
14.149 Rent Supplements—Rental Housing for Lower Income Families (C)
14.156 Lower Income Housing Assistance Program (C)
14.158 Public Housing—Comprehensive Improvement Assistance Program (B,C,E)
14.164 Operating Assistance for Troubled Multifamily Housing Projects (B,C)
14.170 Congregate Housing Services Program (B)

**(605) Food and Nutrition Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing food or nutritional assistance to individuals and families.

10.550 Food Distribution (A,H)
10.551 Food Stamps (C)
10.553 School Breakfast Program (A)
10.555 National School Lunch Program (A)
10.556 Special Milk Program for Children (A)
10.557 Special Supplemental Food Program for Women, Infants, and Children (A)
10.558 Child Care Food Program (A,H)
10.559 Summer Food Service Program for Children (A)
10.560 State Administrative Expenses for Child Nutrition (A)
10.561 State Administrative Matching Grants for Food Stamp Program (A)
10.564 Nutrition Education and Training Program (A)
10.565 Commodity Supplemental Food Program (A,B,H)

**(609) Other income security**

Income security programs that are not included in any other subfunction. This is composed primarily of either direct payments or grants-in-aid to finance direct payments that constitute cash income to low-income individuals and families, but it also includes refugee assistance and both administrative expenses and offsetting collections in the income security function that are not part of any other subfunction.

13.775 State Medicaid Fraud Control Units (A)

## (700) VETERANS BENEFITS AND SERVICES

This function consists of programs providing benefits and services, the eligibility for which is related to prior military service but the financing of which is not an integral part of the costs of national defense. It includes veterans service-connected compensation; veterans non-service connected pensions; and veterans readjustment benefits, housing, and medical care programs.

As a normal rule, the outlays in this function are similar to those in the broader general purpose functions (such as income security or health) but are restricted to veterans, their dependents, and their survivors. Earned rights of career military personnel that are a cost of the defense budget (such as military retired pay or medical care) are excluded from this function. The subfunctions of this function are so structured that they are readily additive to analogous major functions for the general population.

**(701) Income Security for Veterans**

Includes veterans compensation, pensions, burial benefits and life insurance.

64.101 Burial Expenses Allowance for Veterans (C)
64.102 Compensation for Service-Connected Deaths for Veterans' Dependents (D)
64.103 Life Insurance for Veterans (E,G)
64.104 Pension for Non-Service-Connected Disability for Veterans (D)
64.105 Pension to Veterans Surviving Spouses, and Children (D)
64.109 Veterans Compensation for Service-Connected Disability (D)
64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)
64.200 Memorial Plots and Memorial Markers (J)
64.202 Procurement of Headstones and Markers (J)

**(702) Veterans Education, Training, and Rehabilitation**

Composed primarily of the 'GI bill' readjustment benefits.

64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)
64.106 Specially Adapted Housing for Disabled Veterans (C)
64.111 Veterans Educational Assistance (C)
64.116 Vocational Rehabilitation for Disabled Veterans (D,E)
64.117 Dependents Educational Assistance (C)
64.120 Post-Vietnam Era Veterans' Educational Assistance (C)

**(703) Hospital and Medical Care for Veterans**

Composed of medical care and research financed by the Veterans Administration.

64.001 Biomedical Research (I)
64.005 Grants to States for Construction of State Home Facilities (B)
64.007 Blind Veterans Rehabilitation Centers (J)
64.008 Veterans Domiciliary Care (J)
64.009 Veterans Hospitalization (J)
64.010 Veterans Nursing Home Care (J)
64.011 Veterans Outpatient Care (J)
64.012 Veterans Prescription Service (H)
64.013 Veterans Prosthetic Appliances (H)
64.014 Veterans State Domiciliary Care (A)
64.015 Veterans State Nursing Home Care (A)
64.016 Veterans State Hospital Care (A)
64.018 Sharing Specialized Medical Resources (J)
64.019 Veterans Rehabilitation—Alcohol and Drug Dependence (J)
64.022 Veterans Hospital Based Home Care (J)
64.023 Health Professional Scholarships (B)

**(704) Veterans Housing**

Composed of housing loan and guarantee programs for, and restricted to, veterans and dependents.

64.114 Veterans Housing—Guaranteed and Insured Loans (F)
64.118 Veterans Housing—Direct Loans for Disabled Veterans (E)
64.119 Veterans Housing—Mobile Home Loans (F)

**(705) Other Veterans Benefits and Services**

Mainly the administrative expenses of the Veterans Administration.

12.500 U.S. Soldiers' and Airmen's Home (J)
64.115 Veterans Information and Assistance (K)
64.201 National Cemeteries (J)
64.203 State Cemetery Grants (B)

## (750) ADMINISTRATION OF JUSTICE

This function includes those programs designed to provide judicial services, police protection, law enforcement (including civil rights), rehabilitation, and incarceration of criminals, and promotion of the general maintenance of domestic order. It includes the provision of court appointed counsel or other legal services to individuals.

This function excludes the costs of the legislative branch, the narrow-purpose police or guard activities providing protection to Federal property, or activities which are an integaral part of a broader function (such as postal inspectors, tax collection agents, and Park Service Rangers). The costs of National Guard personnel who are called upon occasionally to provide general public safety protection and military police costs are included under the national defense function rather than in this function.

**(751) Federal Law Enforcement Activities**

Includes Customs, the Immigration and Naturalization Service, the Drug Enforcement Administration, and police and crime prevention activities in other programs. This subfunction also includes the readily identifiable enforcement costs of civil rights activities.

13.675 Civil Rights Compliance Activities (L,N)
14.400 Equal Opportunity in Housing (N)
14.403 Community Housing Resource Board Program (B)
16.001 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L)
16.002 Law Enforcement Assistance—Narcotics and Dangerous Drugs—State Legislation (K)
16.003 Law Enforcement Assistance—Narcotics and Dangerous Drugs Technical Laboratory Publications (L)
16.004 Law Enforcement Assistance—Narcotics and Dangerous Drugs Training (M)
16.005 Public Education on Drug Abuse—Information (K)
16.300 Law Enforcement Assistance—FBI Advanced Police Training (M)
16.301 Law Enforcement Assistance—FBI Crime Laboratory Support (J,M)
16.302 Law Enforcement Assistance—FBI Field Police Training (M)
16.303 Law Enforcement Assistance—FBI Fingerprint Identification (J)
16.304 Law Enforcement Assistance—National Crime Information Center (J)
16.305 Law Enforcement Assistance—Uniform Crime Reports (L)
16.400 Citizenship Education and Training (L)
21.051 Alcohol, Tobacco, and Firearms—Laboratory Analysis (J)
21.052 Alcohol, Tobacco, and Firearms—Training Assistance (M)
21.100 Secret Service—Training Activities (M)
29.001 Clearinghouse Services, Civil Rights Discrimination Complaints (L)
30.001 Employment Discrimination—Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (N)
30.002 Employment Discrimination--State and Local Anti-Discrimination Agency Contracts (C)
30.005 Employment Discrimination—Private Bar Program (J)
30.008 Employment Discrimination—Age Discrimination in Employment (K,N)
30.009 Employment Discrimination Project Contracts—Indian Tribes (B)
30.010 Employment Discrimination—Equal Pay Act (K,N)

**(752) Federal Litigative and Judicial Activities**

Includes the cost of the judiciary, the cost of prosecution and Federal expenses connected with financing legal defense activities.

16.100 Desegregation of Public Education (J)
16.101 Equal Employment Opportunity (J)
16.103 Fair Housing and Equal Credit Opportunity (J)
16.104 Protection of Voting Rights (J)
16.105 Civil Rights of Institutionalized Persons (J)
16.200 Community Relations Service (K)

**(753) Federal Correctional Activities**

Covers the cost of incarceration, supervision, parole, and rehabilitation of Federal prisoners.

**(754) Criminal Justice Assistance**

Includes the cost of grants to State and local governments to assist them in operating and improving their law enforcement and justice system.

16.540 Juvenile Justice and Delinquency Prevention—Allocation to States (A)
16.541 Juvenile Justice and Delinquency Prevention—Special Emphasis and Technical Assistance (B)
16.542 National Institute for Juvenile Justice and Delinquency Prevention (B)
16.550 Criminal Justice Statistics Development (B)
16.551 Statistics on Crime and Criminal Justice (L)
16.553 Federal Statistics and Information Policy (B,L)
16.560 Justice Research and Development Project Grants (B,L)
16.561 National Institute of Justice Visiting Fellowships (B)
16.562 Criminal Justice Research and Development—Graduate Research Fellowships (B)
16.570 Civil Rights Compliance Activities (J,N)
16.571 Public Safety Officers' Benefits Program (D)
16.601 Corrections—Training and Staff Development (B,J,L,M)
16.602 Corrections—Research and Evaluation and Policy Formulation (B,J,L)
16.603 Corrections—Technical Assistance (B,J,L)

## (800) GENERAL GOVERNMENT

This function includes the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other major function. As a normal rule, all activities reasonably or closely associated with other functions shall be included in those functions rather than listed as a part of general government.

**(801) Legislative Functions**

Includes most of the costs of the legislative branch except for the Tax Court, the Library of Congress, and the Government Printing Office revolving fund.

**(802) Executive Direction and Management**

Includes the Executive Office of the President (unless some major grants or operating programs should be included in the EOP); occasionally some closely related spending outside the EOP is also included in this subfunction.

**(803) Central Fiscal Operations**

Includes the general tax collection and fiscal operations of the Treasury Department.

21.003 Taxpayer Service (K,M)
21.004 Federal Tax Information for State Tax Officials (J)
21.005 Individual Tax Model (J)
21.006 Tax Counseling for the Elderly (C)

**(804) General Property and Records Management**

Includes most of the operations of the General Services Administration (net of reimbursements from other agencies for services rendered).

39.001 Business Services (K)
39.004 National Archives Reference Services (I,K,L)
39.005 National Audiovisual Center (K,L)
39.006 National Historical Publications and Records Grants (B)
39.008 Federal Information Center (L)

**(805) Central Personnel Management**

Includes most of the operating costs of the Office of Personnel Management (formerly the Civil Service Commission) and related agencies (net of reimbursements from other agencies for services rendered).

27.001 Federal Civil Service Employment (O)
27.002 Federal Employment Assistance for Veterans (O)
27.005 Federal Employment for the Handicapped (O)
27.008 Intergovernmental Cooperation in Recruiting and Examining (J)
27.009 Training Assistance to State and Local Governments (K,L,M)
27.011 Intergovernmental Mobility of Federal, State, and Local Employees (J,K)
27.013 Presidential Management Intern Program (J,O)

**(806) Other General Government**

Includes miscellaneous other costs such as Federal costs of territorial governments.

40.001 Depository Libraries for Government Publications (L)
40.002 Government Publications—Sales and Distribution (H,L)

## (850) GENERAL PURPOSE FISCAL ASSISTANCE

This function includes Federal aid to State , local, and territorial governments that is available for general fiscal support. It also includes grants for more restricted purposes when the stipulated purposes cross two or more major budgetary functions and the distribution among those functions is at the discretion of the recipient jurisdiction rather than the Federal Government. It includes payments in lieu of taxes, broad-purpose shared revenues, and the Federal payment to the District of Columbia. Payments for community development or social services programs are not included in this function.

**(851) General Revenue Sharing**

The general revenue sharing program.

21.300 State and Local Government Fiscal Assistance—General Revenue Sharing (A)

**(852) Other General Purpose Fiscal Assistance**

Includes all other programs in this function. These are mainly shared revenues, countercyclical fiscal assistance whenever there is such a program, and the Federal payment to the District of Columbia.

10.665 Schools and Roads—Grants to States (A)
10.666 Schools and Roads—Grants to Counties (A)
10.667 School Funds—Grants to Arizona (A)
10.668 Additional Lands—Grants to Minnesota (A)

**(999) Multiple Functions**

This functional code is used where two or more accounts with different Treasury basic account symbols are included in a consolidated program.

13.659 Adoption Assistance (A)
13.676 Surplus Property Utilization (H)
14.402 NonDiscrimination in Federally-Assisted Programs (On the Basis of Age) (N)
15.850 Indian Arts and Crafts Development (I,K,N)
39.002 Disposal of Federal Surplus Real Property (H)
39.003 Donation of Federal Surplus Personal Property (H)
39.007 Sale of Federal Surplus Personal Property (H)

| | |
|---|---|
| 43.001 | Aerospace Education Services Project (L) |
| 43.002 | Technology Transfer (L) |
| 57.001 | Social Insurance for Railroad Workers (D) |
| 62.001 | National Fertilizer Development (H,I,K,L) |
| 62.004 | Tennessee Valley Region—Economic and Community Development (K,L) |
| 62.005 | Tennessee Valley Region—Natural Resources Development (K,L) |
| 62.006 | Tennessee Valley Region—Valley Agricultural Resources Development (K,L) |
| 81.007 | Teacher Development Projects in Energy (B,M) |
| 81.042 | Weatherization Assistance for Low-Income Persons (B) |
| 81.060 | Electric and Hybrid Vehicle Loan Guaranties (F) |
| 81.062 | National Clubs, Organizations and Associations Energy Awareness Projects (K,L) |
| 81.063 | Office of Minority Economic Impact Loans (E) |
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Room 1590, Federal Bldg.
1220 S.W. 3rd Ave.
Portland, OR 97204
(503) 221-2731
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**Pennsylvania**
Room 728, Federal Bldg.
228 Walnut Street
Harrisburg, PA 17108
(717) 782-4476
FTS 590-4476

**Puerto Rico**
Federal Bldg., Room 623
Carlos E. Chardon Street
G.P.O. Box 6106G (for letter mail)
San Juan, PR 00936
(809) 753-4308 (Use same 7-digit number for FTS)

**South Carolina**
Strom Thurmond
Federal Bldg., 1835 Assembly Street
Room 1007
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Columbia, SC 29201
(803) 765-5876
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**South Dakota**
Huron Federal Bldg., Room 208
200 Fourth St., S.W.
Huron, SD 57350
(66) 352-8651, Ext. 355
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**Tennessee**
Room 538, U.S. Court House Bldg.
801 Broadway
Nashville, TN 37203
(615) 251-7341
FTS 852-7341

**Texas**
W.R. Poage Building
101 S. Main
Temple, TX 76501
(817) 774-1301
FTS 736-1301

**Utah**
(Nevada, Utah)
Federal Bldg., Room 5311
125 South State St.
Salt Lake City, UT 84138
(801) 524-5027
FTS 588-5027

**Vermont**
(New Hampshire, Vermont)
141 Main St.
P.O. Box 588
Montpelier, VT 05602
(802) 223-2371
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**Virginia**
Federal Bldg., Room 8213
400 N. 8th St.
For letter mail:
P.O. Box 10106
Richmond, VA 23240
(804) 771-2451
FTS 925-2451

**Washington**
Federal Bldg., Room 319
301 Yakima St.
Wenatchee, WA 98801
(509) 662-4353
FTS 390-0353

**West Virginia**
Federal Bldg., Room 320
75 High Street
P.O. Box 678
Morgantown, WV 26505
(304) 599-7791
FTS 923-7791

**Wisconsin**
1257 Main Street
Stevens Point, WI 54481
(715) 341-5900
FTS 360-3889

**Wyoming**
Federal Bldg., Room 1005
100 E. B St.
For letter mail:
P.O. Box 820
Casper, WY 82602
(307) 265-5550, Ext. 5271
FTS 328-5271

To locate County Farmers Home Administration Officers, consult your telephone directory under U.S. Department of Agriculture, or the State Office of the Farmers Home Administration listed above.

## Federal Crop Insurance Corporation

### REGIONAL OFFICES

**California**
(Arizona (except Navaho Nation), California, Nevada)
Leo A. Verville
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Davis, CA 95616
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**Illinois**
(Illinois)
Leo F. Crawford
Room 134, Federal Building
600 East Monroe
Springfield, IL 62701
(217) 492-4280
FTS 955-4280

**Indiana**
(Indiana, Michigan, Ohio)
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Indianapolis, IN 46224
(317) 269-6527
FTS 331-4141

**Iowa**
(Iowa)
Eugene R. Grimsley, Acting
509 Federal Bldg., 210 Walnut St.
Des Moines, IA 50309
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FTS 862-4316

**Kansas**
(Colorado, Kansas)
Forrest H. Boerner
2601 Anderson Ave.
Manhattan, KS 66502
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**Minnesota**
(Minnesota, Wisconsin)
Wilmer J. DuFrense
Room 222, Federal Bldg. and U.S. Courthouse
316 Robert St.
St. Paul, MN 55101
(612) 725-5871 (Use same 7-digit number for FTS)

**Mississippi**
(Alabama, Arkansas, Louisiana, Mississippi)
Everett LeJeune
Suite 1201
100 West Capital
Jackson, MS 39201
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FTS 490-4328

**Missouri**
(Missouri)
Charles R. Gillum, Acting
700 East Cherry, Room 201
Columbia, MO 65201
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**Montana**
(Montana, Wyoming)
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Billings, MT 59102
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FTS 585-6196

**Nebraska**
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Vernon E. Overbeck
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U.S. Courthouse, 100 Centennial Mall
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**North Carolina**
(North Carolina, Virginia, West Virginia)
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For letter mail: P.O. Box 27366, Raleigh, NC 27611
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Raleigh, NC 27601
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FTS 672-4470

**North Dakota**
(North Dakota)
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220 East Rosser Ave.
Bismarck, ND 58501
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**Pennsylvania**
(Delaware, Maryland, New Jersey, New York, Pennsylvania, Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
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J. Porter Bull
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FTS 852-5591

**Texas**
(Arizona (Navaho Nation), New Mexico, Oklahoma, Texas)
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USDA Bldg.
College Station, TX 77840
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FTS 527-1391

**Washington**
(Modoc County, California, Idaho, Oregon, Utah, Washington, Alaska)
O. D. Christiansen
Room 294, U.S. Courthouse, West 920 Riverside Ave.
Spokane, WA 99201
(509) 456-3763
FTS 439-3763

## Food and Nutrition Service

### REGIONAL OFFICES

**California**
(Western: Alaska, American Samoa, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, Washington, Trust Territory of the Pacific Islands)
Dick Montoya
550 Kearny St., Room 400
San Francisco, CA 94108
(415) 556-4951 (Use same 7-digit number for FTS)

**Colorado**
(Mountain Plains: Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)
Craig Forman
Post Office Building
2420 West 26th Ave., Suite 450-D
Denver, CO 80211
(303) 837-5741
FTS 327-5741

**Georgia**
(Southeast: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Ann Sims
1100 Spring St., N.W., Room 400
Atlanta, GA 30367
(404) 881-4259
FTS 257-4259

**Illinois**
(Midwest: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Martha E. Cashion
USDA/FNS Information, Room 967
536 South Clark St.
Chicago, IL 60605
(312) 353-1044 (Use same 7-digit number for FTS)

**Massachusetts**
(New England: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Dewey Wood, Acting Director, Information
33 North Ave.
Burlington, MA 01803
(617) 272-9292 (Use same 7-digit number for FTS)

**New Jersey**
(Mid-Atlantic: Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virgin Islands, Virginia, West Virginia)
Joseph Dunphy
1 Vahlsing Center
Robbinsville, NJ 08691
(609) 259-3041, Ext. 291
FTS 342-0291

**Texas**
(Southwest: Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Judy Snow
1100 Commerce St., Room 5-A-16
Dallas, TX 75242
(214) 729-0256 (Use same 7-digit number for FTS)

## Food Safety and Inspection Service

### MEAT AND POULTRY INSPECTION REGIONAL OFFICES

**California**
Western Region: Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, North Dakota, Oregon, South Dakota, Utah, Washington, Wyoming, American Samoa, Guam, Northern Mariana Islands)
Donald C. Breedon (Acting)
Room 102, Bldg. 2-C, 620 Central Ave.
Alameda, CA 94501
(415) 273-7402
FTS 536-7402

**Georgia**
(Southeastern Region: Alabama, Delaware, District of Columbia, Florida, Georgia, Kentucky, Maryland, Mississippi, North Carolina, Tennessee, Virginia, West Virginia)
Dr. J. D. Willis
1718 Peachtree Rd. N.W., Room 216
Atlanta, GA 30309
(404) 881-3911
FTS 257-3911

**Iowa**
(North Central Region: Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio Wisconsin)
Dr. K.O. McDougall
607 East Second Street
Des Moines, IA 50316
(515) 284-4042
FTS 862-4042

**Pennsylvania**
(Northeastern Region: Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virgin Island)
Dr. M. C. McNay
7th Floor, Federal Bldg.
1421 Cherry St.
Philadelphia, PA 19102
(215) 597-4217 (Use same 7-digit number for FTS)

**Texas**
(Southwestern Region: Arkansas, Kansas, Louisiana, Missouri, Nebraska, New Mexico, Oklahoma, Texas)
Dr. N. B. Isom
1100 Commerce St., Room 5-F41
Dallas, TX 75242
(214) 767-9116
FTS 729-9116

### FRUIT AND VEGETABLE QUALITY DIVISION

#### (Fresh Products Branch)

**California**
(Western Region: Arizona, California, Hawaii, Idaho, Montana, Nevada, Oregon, Utah, Washington)
Robert Rosko
Room 739, Appraisers Bldg.
630 Sansome St.
San Francisco, CA 94111
(415) 556-3945 (Use same 7-digit number for FTS)

**Illinois**
(Central Region: Arkansas, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Mexico, North Dakota, Ohio, Oklahoma, South Dakota, Tennessee, Texas, Wisconsin, and Wyoming)
Ernest J. Capouch
Room 1012, 610 S. Canal St.
Chicago, IL 60607
(312) 353-6225 (Use same 7-digit number for FTS)

**Virginia**
(Eastern Region: Alabama, Connecticut, Delaware, District of Columbia, Florida, Georgia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, North Carolina, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Vermont, West Virginia)
James P. Wray
Suite 86
5205 Leesburg Pike
Falls Church, VA 22041
(202) 557-2500 (Use same 7-digit number for FTS)

#### (Processed Products Branch)

**California**
(Western Region: Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming)
Elton E. Hughes
111 W. St. John St., Suite 416
San Jose, CA 95113
(408) 275-7253
FTS 463-7253

**District of Columbia**
(Puerto Rico)
Joe A. Fly
Room 0717, South Bldg.
14th and Independence Ave., S.W.
Washington, DC 20250
(202) 447-4693 (Use same 7-digit number for FTS)

**Florida**
(Southeastern Region: Alabama, Florida, Georgia, North Carolina, South Carolina)
John Campbell
P.O. Box 860
Winterhaven, FL 33880
(813) 294-7416
FTS 826-2601

**Illinois**
(Central Region: Arkansas, Connecticut, Delaware, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Hampshire, New Jersey, New York, North Dakota, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Dakota, Tennessee, Texas, Vermont, Virginia, West Virginia, Wisconsin)
Floyd Ermer
Room 1014, US Custom House
610 S. Canal St.
Chicago, IL 60607
(312) 353-6217

## MEAT QUALITY DIVISION

### (Meat Grading and Standardization)

**California**
Martin E. Swingley
Bldg. 7, Section A
4747 Eastern Ave.
Bell, CA 90201
(213) 265-0536
FTS 793-9539

**Colorado**
Martin K. Eilts
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47th and Lafayette
Denver, CO 80216
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FTS 327-4088

**Georgia**
Roy McDonald
720 Peachtree St. N.W., Room 423
Atlanta, GA 30309
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FTS 257-4158

**Illinois**
Thomas Sandau
4101 So. Halsted St., Room 217
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(312) 353-5751 (Use same 7-digit number for FTS)

**Iowa**
Donald McWilliams
225 Livestock Exchange Bldg.
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Sioux City, IA 51107
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FTS 862-3259

**Minnesota**
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Post Office Building, Box 27
South St. Paul, MN 55075
(612) 451-6877
FTS 725-7161

**Mississippi**
Larry Meadows
Training Center
LaGalerie Shopping Center
500 Russell Street
Starkville, MS 39759
(601) 323-7599

**Missouri**
Richard Theobald
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Kansas City, MO 64106
(816) 842-3808
FTS 758-6148

**Nebraska**
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(402) 731-2014
FTS 864-4635

**New Jersey**
George Kablesh
1101 State Rd., Bldg. E
Princeton, NJ 08540
(609) 921-3305
FTS 483-2309, 2310

**Texas**
David Atkins
Amarillo Livestock Auction Co.
P.O. Box 30217
Amarillo, TX 79120
(86) 372-7361
FTS 735-1264

## POULTRY AND DAIRY QUALITY DIVISION

### (Dairy Inspection, Grading Branch and Laboratory

**California**
(Arizona, California, Colorado, Idaho, Montana, New Mexico, Nevada, Oregon, Utah, Washington, Wyoming)
Regional Supervisor
Roy F. Hedtke
Room 754, Appraisers Bldg.
630 Sansome St.
San Francisco, CA 94111
(415) 556-5585 (Use same 7-digit number for FTS)

**Illinois**
(Alabama, Illinois, Indiana, Kentucky, Michigan, Mississippi, Ohio, Tennessee, West Virginia, Wisconsin)
Regional Supervisor
Kenneth Olson
610 S. Canal St., Room 803
Chicago, IL 60607
(312) 353-6680 (Use same 7-digit number for FTS)

**Minnesota**
(Arkansas, Iowa, Kansas, Louisiana, Minnesota, Missouri, Nebraska, North Dakota, Oklahoma, South Dakota, Texas)
Regional Supervisor
Harold K. Linden
Room 242, Federal Bldg.
110 South 4th St.
Minneapolis, MN 55401
(612) 725-2246 (Use same 7-digit number for FTS)

**New York**
(Connecticut, Delaware, Florida, Georgia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, North Carolina, Pennsylvania, Rhode Island, South Carolina, Vermont, Virginia)
Regional Supervisor
LeRoy C. Iverson
U.S. Courthouse and Federal Bldg., Room 1205
100 So. Clinton St.
Syracuse, NY 13260
(315) 423-5325
FTS 950-5325

### (Laboratory Services)

Dr. J. L. Dizikes
Chemist-in-Charge
Room 666
610 S. Canal St.
Chicago, IL 60607
(312) 353-6525 (Use same 7-digit number for FTS)

### (Poultry Grading Branch)

**Arkansas**
(East Midwest Region: Alabama, Arkansas, Indiana, Kentucky, Louisiana, Michigan, Mississippi, Ohio, Tennessee, Wisconsin)
Donald Taylor
Room 110
1 Natural Resources Dr.
P. O. Box 5497
Little Rock, AR 72215
(501) 378-5955
FTS 740-5955

**California**
(Western Region: Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, New Mexico, Nevada, Oregon, Washington, Utah, Wyoming)
Jack Brownlow
World Plaza Bldg.
1508 Coffee Rd.
P. O. Box 6158
Modesto, CA 95355
(209) 522-5251
FTS 463-6484

**Iowa**
(West-Midwest Region: Illinois, Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, Oklahoma, South Dakota, Texas, Wisconsin)
Ralph Swearngin
Room 777, Federal Bldg.
210 Walnut St.
Des Moines, IA 50309
(515) 284-4581
FTS 862-4581

**North Carolina**
(Eastern Region: Connecticut, Delaware, District of Columbia, Florida, Georgia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, North Carolina, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Vermont, Virginia, West Virginia, Virgin Islands)
Jim York
635 Cox Road
Gastonia, NC 28052
(704) 867-3871
FTS 672-6493

## Forest Service

### REGIONAL OFFICES

**Alaska**
(Region X: Alaska)
Wendel Doty
2221 E. Northern Lights Blvd., Suite 107
Anchorage, AK 99502
(907) 276-0939
FTS 399-0150

**California**
(Region V: California, Hawaii)
John W. Chaffin
630 Sansome St.
San Francisco, CA 94111
(415) 556-4310 (Use same 7-digit number for FTS)

**Colorado**
(Region II: Colorado, Kansas, Nebraska, South Dakota, except Northwestern Corner, Eastern two-thirds of Wyoming)
Larry D. Henson
11177 W. 8th Ave.
P.O. Box 25127
Lakewood, CO 80225
(303) 234-3711 (Use same 7-digit number for FTS)

**Georgia**
(Region VIII: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Oklahoma, Puerto Rico, South Carolina, Tennessee, Texas, Virginia, Virgin Islands)
Vacant
1720 Peachtree Rd., N.W.
Atlanta, GA 30367
(404) 881-4177
FTS 257-4177

**Montana**
(Region I: Montana, northern Idaho, North Dakota, northwestern Corner of South Dakota)
Alfred H. Troutt
Federal Bldg.
Missoula, MT 59807
(406) 329-3319
FTS 585-3319

**New Mexico**
(Region III: Arizona, New Mexico)
Thomas G. Schmeckpeper
Federal Bldg., 517 Gold Ave., S.W.
Albuquerque, NM 87102
(505) 766-2401
FTS 474-2401

**Oregon**
(Region VI: Oregon, Washington)
James C. Space
319 S.W. Pine St., P.O. Box 3623
Portland, OR 97208
(503) 221-3625
FTS 423-3625

**Utah**
(Region IV: Southern Idaho, Nevada, Utah, western one-third of Wyoming)
Richard E. Greffenius
Federal Office Bldg., 324 25th St.
Ogden, UT 84401
(801) 625-5609
FTS 586-5609

**Wisconsin**
(Region IX: Connecticut, Delaware, Illinois, Indiana, Iowa, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, West Virginia, Wisconsin)
Robert Entzminger
633 West Wisconsin Ave.
Milwaukee, WI 53203
(414) 291-3693
FTS 362-3640

To locate Forest Supervisor and Ranger District Offices, consult your local telephone directory under U.S. Department of Agriculture, or the regional Offices listed above.

### STATE AND PRIVATE FORESTRY AREAS

**Georgia**
(Southeastern Area: Covers same States as listed under Region VIII above)
Robert D. Raisch
1720 Peachtree Rd. N.W., Room 700
Atlanta, GA 30367
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**Pennsylvania**
Northeastern Area: Covers same States as listed under Region IX above)
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Broomall, PA 19008
(215) 489-3125 (Use same 7-digit number for FTS)

## RESEARCH HEADQUARTERS

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**Louisiana**
(Southern: Alabama, Arkansas, Louisiana, Mississippi, Oklahoma, except Panhandle, Puerto Rico, Tennessee, eastern Texas)
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T-10210, U.S. Postal Service Bldg.
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**Minnesota**
(North Central: Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Wisconsin)
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**Pennsylvania**
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**Utah**
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**Wisconsin**
Roman Link
Forest Products Laboratory
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Madison, WI 53705
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## Science and Education

### REGIONAL OFFICES

**Maryland**
(Northeast Region: Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, West Virginia)
Dr. G.E. Vanden Berg, Acting Reg. Admin., NER
Room 333, Administration Bldg., 003
Agricultural Research Center, (BARC-W)
Beltsville, MD 20705
(301) 344-3418 (Use same 7-digit number for FTS)

**Illinois**
(North Central Region: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, Wisconsin)
P. Fitzgerald, Reg. Admin., NC
2000 West Pioneer Parkway
Peoria, IL 61615
(309) 671-7176
FTS 360-7176

**Louisiana**
(Southern Region: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Oklahoma, Puerto Rico, South Carolina, Tennessee, Texas, Virginia, Virgin Islands)
E.L. Kendrick, Reg. Admin., SR
701 Loyola Ave.
P.O. Box 53326
New Orleans, LA 70153
(504) 589-6753
FTS 682-6753

**California**
(Western Region: Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming)
Dr. HC Cox, Reg. Admin., WR,
1333 Broadway, Suite 400
Oakland, CA 94612
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## Soil Conservation Service

### STATE OFFICES

**Alabama**
Ernest Todd
Wright Building, 138 S. Gay St.
P.O. Box 311
Auburn, AL 36830
(205) 821-8070
FTS 534-4535

**Alaska**
Weymeth E. Long
Professional Bldg., Suite 129
2221 E. Northern Lights Blvd.
Anchorage, AK 99504
(907) 276-4246 (Use same 7-digit number for FTS)

**Arizona**
Verne M. Bathurst
230 North 1st Ave.
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Phoenix, AZ 85025
(602) 261-6711 (Use same 7-digit number for FTS)

**Arkansas**
Jack C. Davis
Federal Office Bldg., Room 5029
700 W. Capitol St., P.O. Box 2323
Little Rock, AR 72203
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**California**
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**Connecticut**
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Storrs, CT 06268
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**Delaware**
Otis D. Fincher
Treadway Towers, Suite 204
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Dover, DE 19901
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**Hawaii**
Francis E. H. Lum
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Room 4316
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Honolulu, HI 96850
(808) 546-3165

**Idaho**
Amos I. Garrison, Jr.
Room 345, 304 North 8th St.
Boise, ID 83702
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**Illinois**
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(612) 725-2044 (Use same 7-digit number for FTS)

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(816) 374-3381 (Use same 7-digit number for FTS)

1114 Market Street
Room 633
St. Louis, MO 63101
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National Bldg.
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Albuquerque, NM 87101
(505) 766-3379
FTS 474-3379

**New York**
500 Federal Bldg.
111 W. Huron Street
Buffalo, NY 14202
(716) 223-5375 (Use same 7-digit number for FTS)
FTS 437-4387 or 4388

SBA Regional Office
26 Federal Plaza, 29th Floor
New York City, NY 10278
(212) 264-4382 (Use same 7-digit number for FTS)

**Ohio**
c/o FEB
AJC Federal Bldg., Room 747
Cleveland, OH 44199
(216) 552-5404 (Use same 7-digit number for FTS)

**Pennsylvania**
Wm. H. Green
Federal Office Bldg.
600 Arch St., Room 9436
Philadelphia, PA 19106
(215) 597-9236 (Use same 7-digit number for FTS)

614 Federal Building
1000 Liberty Avenue
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(412) 644-5882 (Use same 7-digit number for FTS)

**Tennessee**
Federal Building, Room 747
801 Broadway
P. O. Box CH 31
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727 E. Durango Blvd., Room B412
San Antonio, TX 78206
(512) 229-6205
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1100 Commerce Street
Room 7D26
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(214) 767-0793) (Use same 7-digit number for FTS)

515 Rusk, Suite 2521
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(713) 226-5732 (Use same 7-digit number for FTS)

**Virginia**
HUD Area Office
701 E. Franklin Street
Room 420
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326 Federal Building
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## National Oceanic and Atmospheric Administration

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## Office of Student Financial Assistance

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**Region IV**
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**Region V**
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**Region VI**
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**Region VII**
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San Francisco, CA 94102
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**Region X**
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Albany, NY 12223
(518) 473-4083

**North Carolina**
Doug Culbreth, Chief
N.C. Department of Commerce
Energy Division
P.O. Box 25249
Raleigh, NC 27611
(919) 733-2230

**North Dakota**
Bruce Westerberg
Office of Energy Management and Conservation
1533 N. 12th Street
Bismarck, ND 58501
(701) 224-2250

**Ohio**
Kenneth Cristofani
Conservation, Planning Information and Forecasting
Ohio Department of Energy
State Office Tower, 34th Floor
30 East Broad Street
Columbus, OH 43215
(614) 466-6747

**Oklahoma**
Patty Barrett
Oklahoma Department of Energy
4400 N. Lincoln Blvd., Suite 251
Oklahoma City, OK 73105
(405) 521-2995

**Oregon**
Owen D. Osborne
Energy Extension Service
Oregon State University
114 Dearborn Hall
Corvallis, OR 97331
(503) 754-3004

**Pennsylvania**
Edward Bigelow
Governor's Energy Council
1625 N. Front Street
Harrisburg, PA 17102
(717) 783-8610
(800) 822-8400

**Rhode Island**
Vincent Graziano, Senior Planner
Governor's Energy Office
80 Dean Street
Providence, RI 02903
(401) 277-3370

**South Carolina**
Earle W. Moore
S.C. State Board for Technical and Comprehensive Education
1429 Senate Street
Columbia, SC 29201
(803) 758-5794

**South Dakota**
Shelley Stingley, Director
Office of Energy Policy
Capitol Lake Plaza
Pierre, SD 57501
(605) 773-3603

**Tennessee**
Cynthia Oliphant, Chief, Conservation Programs
Tennessee Energy Authority
Suite 707
226 Capitol Blvd., Bldg.
Nashville, TN 37219
(615) 741-6677

**Texas**
Chris Roitsch
Texas Energy and Natural Resources Advisory Council
200 E. 18th St.
Austin, TX 78701
(512) 475-5407

**Utah**
Leon Peterson, Program Coordinator
Utah Energy Office
Empire Bldg., Suite 101
231 East 400 South
Salt Lake City, UT 84111
(801) 533-5424

**Vermont**
Bruce Haskell
Vermont State Energy Office
State Office Building
4 East Street
Montpelier, VT 05602
(802) 828-2768

**Virginia**
Francis Campbell, Energy Conservation Supervisor
State Office of Emergency and Energy Services
310 Turner Road
Richmond, VA 23225
(804) 745-3305

**Washington**
Patricia Frost
Energy Program Coordinator
Washington State Energy Office
400 E. Union Street, 1st Floor
Olympia, WA 98504
(26) 754-0725

**West Virginia**
Ronald Potesta, Assistant Director
Fuel and Energy Office
1262-1/2 Greenbriar Street
Charleston, WV 25305
(304) 348-8860

**Wisconsin**
William Bernhagen, Director
Wisconsin Energy Extension Service
University of Wisconsin Extension
432 N. Lake Street
Room 435
Madison, WI 5376
(608) 263-1662

**Wyoming**
Ron White, Program Coordinator
P.O. Box 3965
University Station
Laramie, WY 82071
(307) 766-3362

**American Samoa**
Matt Le'i, Director
Territorial Energy Office
Office of the Governor
American Samoa Government
Pago Pago, AS 96799
(684) 633-136 (via Overseas Operator)

**Guam**
Jay Lather, Administrator
Guam Energy Office
P.O. Box 2950
Agana, Guam 96910
(671) 472-8711 or use Overseas Operator 9-0-11-671-477-9445

**Northern Mariana Islands**
George Chan
Energy Project Coordinator
Office of Energy
NAURU Building, 5th Floor
Saipan, MI 96950
Call Overseas Operator, Ask for Saipan - 7174
(885) 099-7174 (Routing is 1-60 plus 671)

**Puerto Rico**
Patricia S. Bermudez, Director
Energy Extension Service
Office of Energy
P.O. Box 41089-Minillas Station
Santurce, PR 00940
(809) 727-0154

**Trust Territory of the Pacific Islands**
Michael Dean Rody
Acting Director, Office of Planning and Statistics
Office of the High Commissioner
Trust Territory of the Pacific Islands
Saipan, MI 96950
(885) 099-9544 (via Overseas Operator)

**Virgin Islands**
Frank R. Prince, Director
Virgin Islands Energy Office
P.O. Box 2996
St. Thomas, U.S. VI 00801
(809) 774-1252 (x 249, 251, 252)

**Region I**
(Connecticut, Maine, Massachussetts New Hampshire, Rhode Island, Vermont)
Peter Sullivan
John F. Kennedy Federal Bldg., Government Center
Boston, MA 02203
(617) 223-6830 (Use same 7-digit number for FTS)

**Region II**
(New York, New Jersey, Puerto Rico, the Virgin Islands)
Frances A. Peterson
26 Federal Plaza, Room 3838
New York, NY 10278
(212) 264-4483 (Use same 7-digit number for FTS)

**Region III**
Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Lois M. Parke
Room 11460, 3535 Market St.
Philadelphia, PA 19104
(215) 596-6923 (Use same 7-digit number for FTS)

Mail Address:
P.O. Box 13716
Philadelphia, PA 19101

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Eddie J. Sessions
101 Marietta Tower Bldg., Suite 501
Atlanta, GA 30323
(404) 221-2471
FTS 242-2471

**Region V**
(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)
Hiroshi Kanno
300 South Wacker Dr.
35th Floor
Chicago, IL 60606
(312) 353-7800 (Use same 7-digit number for FTS)

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Herb Stone
1200 Main Tower Bldg.
Dallas, TX 75202
(214) 767-3311
FTS 729-3311

**Region VII**
(Iowa, Kansas, Missouri, and Nebraska)
Janice Hardenburger
601 East 12th St.
Kansas City, MO 64106
(816) 374-2821
FTS 758-2821

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
Olof Zundel
Federal Office Bldg., 1961 Stout St.
Denver, CO 80294
(303) 837-2831
FTS 327-2831

**Region IX**
(Arizona, California, Hawaii, Nevada, Guam, American Samoa, Northern Mariana Islands, Trust Territories of the Pacific Islands)
Jane Dillion
Federal Office Bldg.
50 United Nations Plaza, Room 401
San Francisco, CA 94102
(415) 556-2246 (Use same 7-digit number for FTS)

**Region X**
(Alaska, Idaho, Oregon, Washington)
Jane Wilson
Arcade Plaza Bldg, MS-817
1321 Second Ave.
Seattle, WA 98101
(26) 442-0486
FTS 399-0486

## Food and Drug Administration

### DISTRICT OFFICES

**California**
A. I. Kleks
1521 West Pico Blvd.
Los Angeles, CA 90015
(213) 688-3776
FTS 798-3776

W. C. Hill
Federal Office Bldg.
50 United Nations Plaza, Room 526
San Francisco, CA 94102
(415) 556-0318 (Use same 7-digit number for FTS)

**Colorado**
George White
U. S. Customhouse, Room 500
721 19th Street
Denver, CO 80202
(303) 837-4915
FTS 327-4915

**Florida**
A. J. Trujillo
P.O. Box 118
Orlando, FL 32802
(305) 855-0900
FTS 820-6281

**Georgia**
G. R. White
880 West Peachtree St. N.W.
Atlanta, GA 30309
(404) 881-3162
FTS 257-3162

**Illinois**
W. R. Clark
Main Post Office Bldg.
Room 1222, 433 West Van Buren St.
Chicago, IL 60607
(312) 353-7379 (Use same 7-digit number for FTS)

**Louisiana**
R. O. Bartz
4298 Elysian Fields Ave.
New Orleans, LA 70122
(504) 589-2401
FTS 682-2401

**Maryland**
T. L. Hooker
900 Madison Ave.
Baltimore, MD 21201
(301) 962-4012
FTS 922-4012

**Massachusetts**
Louis L. Gerschman
585 Commercial St.
Boston, MA 02109
(617) 223-5699 (Use same 7-digit number for FTS)

**Michigan**
A. L. Hoeting
1560 East Jefferson Ave.
Detroit, MI 48207
(313) 226-6260 (Use same 7-digit number for FTS)

**Minnesota**
H. Roberts
240 Hennepin Ave.
Minneapolis, MN 55401
(612) 725-2121 (Use same 7-digit number for FTS)

**Missouri**
J. A. Adamson
1009 Cherry St.
Kansas City, MO 64106
(816) 374-5850
FTS 758-5850

R. M. Johnson
114 Market Street
Room 755
St. Louis, MO 63101
(314) 425-4137
FTS 279-4189

**New Jersey**
M. L. Lewis
20 Evergreen Place
East Orange, NJ 07018
(201) 645-3023
FTS 341-3023

**New York**
G. J. Gerstenberg
850 3rd Ave., Room 700
Brooklyn, NY 11232
(212) 965-5301
FTS 663-5301

E. P. Smith
599 Delaware Ave.
Buffalo, NY 14202
(716) 846-4478
FTS 437-4478

**Ohio**
J. C. Simmons
1141 Central Parkway
Cincinnati, OH 45202
(513) 684-3504 (Use same 7-digit number for FTS)

**Pennsylvania**
L. Y. Johnson
Room 900, U.S. Customhouse
Second and Chestnut St.
Philadelphia, PA 19106
(215) 597-4390 (Use same 7-digit number for FTS)

**Puerto Rico**
Mary E. Ellis
P.O. Box S-4427, Old San Juan Station
San Juan, PR 00905
(809) 753-4443
FTS 753-4443

**Tennessee**
H. E. Mayfield
297 Plus Park Blvd.
Nashville, TN 37217
(615) 251-5851
FTS 852-5851

**Texas**
J. E. Anderson
3032 Bryan St.
Dallas, TX 75204
(214) 767-0317
FTS(214) 729-0317

A. J. Whitehead
1440 N. Loop, Suite 250
Houston, TX 77009
(713) 226-5581
FTS (713) 527-5581

**Washington**
K. A. Hansen
Federal Office Bldg.
909 First Ave., Room 5003
Seattle, WA 98174
(26) 442-5304
FTS 399-5304

## Indian Health Service

### AREA AND PROGRAM OFFICES

**Alaska**
Gerald H. Ivey
Alaska Area Native Health Service
P.O. Box 7-741
Anchorage, AK 99510
(907) 279-6661

**Arizona**
George Bluespruce, Jr.
Phoenix Area Indian Health Service
801 East Indian School Rd.
Phoenix, AZ 85014
(602) 241-2052
FTS 261-2052

Marlene E. Haffner, M.D.
Navajo Area Indian Health Service
P.O. Box G
Window Rock, AZ 86515
(602) 871-4811

E.S. Rabeau, M.D.
Office of Research and Development
Indian Health Service
P.O. Box 11340
Tucson, AZ 85734
(602) 792-6600
FTS 762-6600

**California**
Robert McSwain
Sacramento Indian Health Service
2800 Cottage Way, Room E-1823
Sacramento, CA 95825
(916) 468-4836

**Minnesota**
John Buckanaga
Indian Health Service Program Office
203 Federal Bldg., Box 768
Bemidji, MN 56601
(218) 751-1210

**Montana**
James R. Smith
Billings Area Indian Health Service
2727 Central Ave.
Billings, MT 59103
(46) 245-6403
FTS 585-6403

**New Mexico**
T. Jay Harwood
Albuquerque Area Indian Health Service
Room 4005, Federal Office Bldg. and U.S. Courthouse
500 Gold Ave., S.W.
Albuquerque, NM 87101
(505) 766-2151
FTS 474-2151

**Oklahoma**
John W. Davis
Oklahoma City Area Indian Health Service
388 Old Post Office and Courthouse Bldg.
Oklahoma City, OK 73102
(405) 231-4796
FTS 736-4796

**Oregon**
C.S. Stitt, Jr.
Portland Area Indian Health Service
Room 476
1220 S.W. Third Ave.
Portland, OR 97204
(503) 221-2020
FTS 423-2020

**South Dakota**
Eleanor Robertson
Aberdeen Area Indian Health Service
Federal Office Bldg.,
115-4th St., S.E.
Aberdeen, SD 57401
(605) 225-7581
FTS 782-7581

**Tennessee**
James Meredith
United Southeastern Tribes Program Office
Oaks Tower Bldg., Suite 810
1101 Kermit Dr.
Nashville, TN 37217
(615) 251-5104
FTS 852-5104

## Social Security Administration

### SOCIAL SECURITY OFFICES

Social security offices are located throughout cities and towns in the United States. There are approximately 1,343 district and branch offices now open. To find the address of the office near you, consult the telephone directory under Social Security Administration or U.S. Government, or ask at your post office.

# DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

Boston Regional Office
Regional Administrator
800 John F. Kennedy Federal Bldg.
Boston, MA 02203
(617) 223-4066 (use same 7-digit numbers for FTS)
FTS 223-0615

Boston Area Office (Massachusetts, Rhode Island)
Bulfinch Bldg., 15 New Chardon St.
Boston, MA 02114
(617) 223-4111
FTS 223-4642

Hartford Area Office (Connecticut)
Area Manager
Hartford Square West, Room 204
Hartford, CT 06106
(203) 244-3638
FTS 244-2125

Manchester Service Office (Maine, New Hampshire, Vermont)
Supervisor
New Federal Bldg., 275 Chestnut St.
Manchester, NH 03103
(603) 666-7681
FTS 834-7669

Bangor Valuation and Endorsement Station (Maine)
U.S. Federal Bldg. and Post Office
202 Harlow St.
Bangor, ME 04401
(207) 947-8410
FTS 833-7341

Burlington Valuation and Endorsement Station Office (Vermont)
110 Main St. Fairchild Square
P.O. Box 989
Burlington, VT 05402
(802) 951-6274
FTS 832-6274

Providence Service Office (Rhode Island)
330 John O. Pastore Federal Building and U.S. Post Office
Providence, RI 02903
(401) 528-4351
FTS 838-4354

**Region II**
(New York, New Jersey, Panama Canal Zone, Puerto Rico, Virgin Islands)

New York Regional Office
Regional Administrator
26 Federal Plaza, Room 3541
New York, NY 10278
(212) 264-8068
FTS 264-3622

Buffalo Area Office (western New York State)
Area Manager
The Mezzanine, Statler Bldg.
107 Delware Ave.
(716) 855-5755
FTS 437-5752

Camden Service Office (southern New Jersey)
Supervisor
The Parkade Bldg., 519 Federal St.
Camden, NJ 08103
(609) 757-5107
FTS 488-5165

Newark Area Office (northern New Jersey)
Area Manager
Gateway 1 Bldg., Raymond Plaza
Newark, NJ 07102
(201) 645-3010
FTS 341-6239

New York Area Office (eastern New York State)
Area Manager
26 Federal Plaza,
New York, NY 10278
(212) 264-0644
FTS 264-3622

San Juan, Commonwealth Area Office (Panama Canal Zone, Puerto Rico, Virgin Islands)
Federico Degetau Federal Bldg.
U. S. Courthouse, Room 428
Carlos E. Chardon Ave.
Hato Rey, PR 00918
(809) 753-4201
FTS 967-1221

Albany Service Office (northern New York State)
Leo W. O'Brien Federal Bldg.
North Pearl St. and Clinton Ave.
Albany, NY 12207
(518) 472-3567
FTS 562-7094

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)

Philadelphia Regional Office
Curtis Bldg., 625 Walnut St.
Philadelphia, PA 19106
(215) 597-2560
FTS 597-2488

Baltimore Area Office (Maryland, except Montgomery and Prince Georges Counties)
Thomas R. Hobbs
The Equitable Bldg.
10 N. Calvert St., 3rd Floor
Baltimore, MD 21202
(301) 962-2121
FTS 922-2133

District of Columbia Area Office (District of Columbia, Montgomery and Prince Georges Counties in Maryland, and northern Virginia State)
Area Manager
Universal North Bldg.
1875 Connecticut Ave. N.W.
Washington, DC 20009
(202) 673-5837
FTS 673-5912

Philadelphia Area Office (eastern Pennsylvania, Delaware)
Area Manager
Curtis Bldg., Room 892, 625 Walnut St.
Philadelphia, PA 19106
(215) 597-2645
FTS 597-9627

Pittsburgh Area Office (western Pennsylvania, West Virginia)
Area Manager
Fort Pitt Commons
445 Fort Pitt Blvd.
Pittsburgh, PA 15219
(412) 644-2802
FTS 722-2601

Richmond Area Office (southern Virginia State)
701 East Franklin St.
Richmond, VA 23219
(804) 771-2721
FTS 925-2128

Charleston Service Office (West Virginia)
Kanawha Valley Bldg. Capitol and Lee Sts.
Charleston, WV 25301
Mailing address: P.O. Box 2948
Charleston, WV 25301
(304) 343-6181, Ext. 321
FTS 924-1403

Wilmington Valuation and Endorsement Station (Delaware)
Delaware Trust Plaza
1800 Pennsylvania Ave, Suite 604
Wilmington, DE 19806
(302) 573-6300
FTS 487-6319

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

Atlanta Regional Office (Georgia)
Richard B. Russell Federal Bldg.
75 Spring St., S.W.
Atlanta, GA 30303
(404) 221-5136
FTS 242-2057

Atlanta Area Office (Georgia)
Richard B. Russell Federal Bldg.
75 Spring St. S.W.
Atlanta, GA 30303
(404) 221-4577
FTS 242-2056

Birmingham Area Office (Alabama)
Daniel Bldg., 15 South 20th St.
Birmingham, AL 35233
(205) 254-1617
FTS 229-1640

Columbia Area Office (South Carolina)
Strom Thurmond Federal Bldg.
1835-45 Assembly St.
Columbia, SC 29201
(803) 765-5591
FTS 677-5688

Greensboro Area Office (North Carolina)
415 North Edgeworth St.
Greensboro, NC 27401
(919) 378-5363
FTS 699-5398

Jackson Area Office (Mississippi)
Federal Bldg. Suite 1016
100 W. Capitol St.
Jackson, MS 39201
(601) 960-4702
(601) 969-4703
FTS 490-4716

Jacksonville Area Office (Florida)
Peninsular Plaza, 661 Riverside Ave.
Jacksonville, FL 32204
(904) 791-2626
FTS 946-3565

Knoxville Area Office (Tennessee)
1 Northshore Bldg., 1111 Northshore Dr.
Knoxville, TN 37919
(615) 558-1384, Ext. 1222
FTS 854-1396

Louisville Area Office (Kentucky)
Area Manager
539 River City Mall
P.O. Box 1044
Louisville, KY 40201
(502) 582-5251
FTS 352-5555

Coral Gables Service Office (southern Florida State)
3001 Ponce de Leon Blvd.
Coral Gables, FL 33124
(305) 447-3000
FTS 350-6024

Memphis Service Office (western Tennessee State)
100 N. Main St., 28th Floor
Memphis, TN 38103
(901) 521-3156
FTS 222-3180

Nashville Service Office (central Tennessee State)
One Commerce Place Suite 1600
Nashville, TN 37219
(615) 749-5521
FTS 852-7218

Tampa Service Office (central Florida State)
700 Twiggs Street
P.O. Box 2097
Tampa, FL 33601
(813) 228-2501
FTS 826-2558

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)

Chicago Regional Office
300 South Wacker Dr.
Chicago, IL 60606
Referral No. (312) 353-5680
FTS 886-4157

Chicago Office of Indian Programs (Maine, New Hampshire, Vermont, New York, Massachusetts, Connecticut, Rhode Island, New Jersey, Pennsylvania, Delaware, Maryland, Virginia, West Virginia, Kentucky, Tennessee, North Carolina, South Carolina, Georgia, Mississippi, Alabama, Florida, Iowa, Illinois, Indiana, Ohio, Michigan, Wisconsin, Minnesota)
FTS (353-1282)

Chicago Area Office (Illinois)
Area Manager
1 N. Dearborn St.
Chicago, IL 60602
(312) 353-7660
(312) 353-6979
FTS 353-5195

Columbus Area Office (Ohio)
New Federal Bldg.
200 North High Street
Columbus, OH 43215
(614) 469-7345
FTS 943-5416

Detroit Area Office (Michigan)
Area Manager
McNamara Federal Bldg.
477 Michigan Ave.
Detroit, MI 48226
(313) 226-7900
FTS 226-3285

Indianapolis Area Office (Indiana)
Area Manager
151 North Delaware Street, P.O. Box 7047
Indianapolis, IN 46207
(317) 269-6303
FTS 331-6317

Milwaukee Area Office (Wisconsin)
744 North 4th St.
Milwaukee, WI 53203
(414) 291-1493
FTS 362-3078

Minneapolis-St. Paul Area Office (Minnesota)
220 Second St. South
Bridge Place Building
Minneapolis, MN 55401
(612) 349-3000
FTS 787-3070

Cincinnati Multifamily Service Office (southwestern Ohio State)
9009 Federal Office Bldg., 550 Main St.
Cincinnati, OH 45202
(513) 684-2884
FTS 684-3446

Cleveland Service Office (northern Ohio State)
777 Rockwell Ave., Second Floor
Cleveland, OH 44114
(216) 522-4065
FTS 293-4019

Flint Service Office (eastern Michigan State)
352 South Saginaw Street
Flint, MI 48502
(313) 234-5621
FTS 378-5358

Grand Rapids Service Office (western and northern Michigan State)
Northbrook Bldg., No. 11
2922 Fuller Ave., N.E.
Grand Rapids, MI 49505
(616) 456-2225
FTS 372-2220

Springfield Valuation and Endorsement Station (central and southern Illinois State)
Lincoln Towers Plaza
524 South Second St., Room 600
Springfield, IL 62701
(217) 492-4276
FTS 955-4014

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

Fort Worth Regional Office
Regional Administrator
221 West Lancaster Ave.
P.O. Box 2905
Fort Worth, TX 76113
(817) 870-5431
FTS 728-5466

Dallas Area Office (New Mexico, eastern, northern, and western Texas)
1403 Slocum St.
P.O. Box 10050
Dallas, TX 75207
(214) 767-8288
FTS 729-8280

Little Rock Area Office (Arkansas and Bowie County, Texas)
Area Manager
Savers Building
320 West Capitol, Suite 700
Little Rock, AR 72201
(501) 378-5401
FTS 740-5931

New Orleans Area Office (Louisiana)
Area Manager
Plaza Tower, 1001 Howard Ave.
New Orleans, LA 70113
(504) 589-2063
FTS 682-6858

Oklahoma City Area Office (Oklahoma)
Area Manager
200 N.W. 5th St.
Oklahoma City, OK 73102
(405) 231-4891
(405) 231-4181
FTS 736-4691

(Within the Oklahoma City Area Office, the Division of Indian Programs has jurisdiction over Oklahoma, Kansas, Texas, Missouri, Lousiana and Arkansas)
(405) 231-4101
FTS 736-4101

San Antonio Area Office (Southwest Texas)
Area Director
James Byam, Deputy Director
Washington Square, 800 Dolorosa
P.O. Box 9163
San Antonio, TX 78285
(512) 229-6781
FTS 730-6782

Albuquerque Service Office (New Mexico)
625 Truman St. N.E.
Albuquerque, NM 87110
(505) 766-3251
FTS 474-3230

Fort Worth Service Office (north central Texas State)
221 West Lancaster Ave.
P.O. Box 2905
Fort Worth, TX 76113
(817) 870-5543

Houston Service Office (East Central Texas State)
Two Greenway Plaza East
Houston, TX 77046
(713) 226-4335
FTS 527-5480

Lubbock Service Office (Northwest Texas State)
514 Courthouse and Federal Office Bldg.,
1205 Texas Ave., P.O. Box 1647
Lubbock, TX 79408
(806) 762-7265
FTS 738-7267

El Paso Valuation Station (Texas)
109 N. Oregan, Room 1302
El Paso, TX 79901 7(915) 543-7686

Shreveport Service Office (northern Louisiana and 5 counties in eastern Texas)
New Federal Bldg., 500 Fannin, 6th Floor
Shreveport, LA 71101
(318) 226-5385
FTS 493-5421

Tulsa Service Office (eastern Oklahoma State)
Robert S. Kerr Bldg.
440 South Houston Ave
Tulsa, OK 74127
(918) 581-7435
FTS 736-7470

**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
Kansas City Regional Office
Professional Bldg. 1103 Grand Ave.
Kansas City, MO 64106
(816) 374-2651
FTS 758-3859

Kansas City Area Office (Kansas, western Missouri)
Area Manager
Professional Bldg.
1103 Grand Ave.
Kansas City, MO 64106
(816) 374-6580
FTS 758-3859

Omaha Area Office (Iowa, Nebraska)
Area Manager
Univac Bldg., 3rd Floor
7100 West Center Rd.
Omaha, NE 68106
(402) 221-9301
FTS 864-9305

St. Louis Area Office (eastern Missouri)
Area Manager
210 North Tucker Boulevard
St. Louis, MO 63101
(314) 425-4761
FTS 279-4770

Des Moines Service Office (Iowa)
259 Federal Bldg., 210 Walnut St.
Des Moines, IA 50309
(515) 284-4512
FTS 862-4206 (GSA Comcen)

Topeka Valuation and Endorsement Station (Kansas, except
444 S.E. Quincy St. Room 330
700 Kansas Ave.
Topeka, KS 66683
(913) 295-2662

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

Denver Regional Area Office
2500 Executive Tower, 1405 Curtis St.
Denver, CO 80202
(303) 837-4513
FTS 327-4633

Denver Office of Indian Programs (Montana, North Dakota, South Dakota, Colorado, Utah, Wyoming, Nebraska)
2500 Executive Towers
1405 Curtis Street
Denver, CO 80202
FTS 327-2963

Casper Valuation and Endorsement Station (Wyoming)
4225 Federal Bldg., 100 East B St.
Casper, WY 82601
(307) 265-5550
FTS 328-5437

Fargo Valuation and Endorsement Station (North Dakota)
Federal Bldg., 653 2nd Ave. N.
P.O. Box 2483
Fargo, ND 58102
(701) 237-5771
FTS 783-5339

Helena Service Office (Montana)
Federal Building, Drawer 10095
301 South Park, Room 340 MT 59601
(406) 449-5237
FTS 585-5205

Salt Lake City Service Office (Utah)
125 South State St.
P.O. Box 11009
Salt Lake City, UT 84111
(801) 524-5237
FTS 588-5265

Sioux Falls Valuation and Endorsement Station
(South Dakota)
119 Federal Bldg.
U.S. Courthouse
400 S. Phillips Ave.
Sioux Falls, SD 57102
(605) 336-2980, Ext. 223
FTS 782-4388

**Region IX**
(Arizona, California, Hawaii, Nevada, Guam, American Samoa, Pacific Trust Territories)
San Francisco Regional Office
450 Golden Gate Ave., P.O. Box 36003
San Francisco, CA 94102
(415) 556-4752

San Francisco Office of, Indian Programs (California, Nevada, Arizona, New Mexico)
1375 Sutter Street, 3rd Floor
San Francisco, CA 94109
(415) 556-9190

Los Angeles Area Office
(Arizona, southern California)
Area Manager
2500 Wilshire Blvd.
Los Angeles, CA 90057
(213) 688-5974
FTS 798-3171

San Francisco Area Office
(northern California, Hawaii, Nevada, Guam, American Samoa, Pacific Trust Territories)
Suite 1600, 1 Embarcadero Center
San Francisco, CA 94111
(415) 556-2238 (Use same 7-digit number for FTS)
Public Information: (415) 556-5369 (Use same 7-digit number for FTS)

Honolulu Area Office
(Hawaii, Guam, American Samoa)
300 Ala Moana Blvd. Room 3318 HI 96850
(808) 546-2136
546-2143

Phoenix Service Office
(Arizona)
Arizona Bank Bldg.
101 N. First Ave, Suite 1800
Phoenix, AZ 85002
(602) 261-4434
FTS 261-3588

Reno Service Office
(Nevada)
1050 Bible Way
P.O. Box 4700
Reno, NV 89505
(702) 784-5356
FTS 470-5473

Sacramento Multifamily Service Office
(northeastern California)
801 I St.
545 Downtown Plaza
P.O. Box 1978, Suite 250
Sacramento, CA 95809
(916) 440-3471
FTS 448-2483

San Diego Service Office
(Imperial and San Diego Counties, California)
110 880 Front St.
P.O. Box 2648
San Diego, CA 92101
(714) 293-5305
FTS 895-6188

Santa Ana Service Office
(Orange, Riverside, and San Bernardino Counties, California, for home mortgages)
34 Civic Center Plaza
Santa Ana, CA 92701
(714) 836-2451
FTS 799-2450

Tuscon Service Office (Arizona)
33 North Stone Avenue, Suite 1400
Tuscon, AZ 85701
(602) 792-6237
FTS 762-6430

**Region X**
(Alaska, Idaho, Oregon, Washington)

Seattle Regional Office
Regional Administrator
3003 Arcade Plaza Bldg.,
1321 Second Ave., Stop 329
Seattle, WA 98101
(206) 442-5414
FTS 399-0994

Seattle Office of Indian Programs (Washington, Oregon, Idaho)
1321 Second Avenue
Seattle, WA 98101
(206) 442-0760
FTS 399-0760

Portland Area Office
(southern Idaho, Oregon, Washington Counties of Clark, Klickitat, and Skamania)
Area Manager
520 Southwest 6th Ave.
Portland, OR 97204
(503) 221-2561
FTS 423-3904

Seattle Area Office
(Alaska, northern Idaho, Washington except Clark, Klickitat, and Skamania Counties)
Area Manager
Arcade Plaza Bldg.
1321 Second Ave., Stop 409
Seattle, WA 98101
(206) 442-7456
FTS 399-5707

Anchorage Area Office
(Alaska)
701 C St., Box 64
Anchorage, AK 99513
(907) 271-4170
FTS 271-4347

Boise Service Office
(west-central Idaho,
419 North Curtis Road, P.O. Box 32
Boise, ID 83705
(208) 334-1990
FTS 554-1257

Spokane Service Office
(northern Idaho, eastern Washington)
920 Riverside Ave., West
Spokane, WA 99201
(509) 456-4571
FTS 439-4659

## Bureau of Land Management

### STATE OFFICES

**Alaska**
701 C St., Box 13
Anchorage, AK 99501
(907) 271-5049

**Arizona**
2400 Valley Bank Center
Phoenix, AZ 85073
(602) 261-3279

**California**
Federal Office Bldg., Room E-2841
2800 Cottage Way
Sacramento, CA 95825
(916) 484-4821

**Colorado**
Room 700, Colorado State Bank Bldg.
1600 Broadway
Denver, CO 80202
(303) 837-5158

**Eastern States**
350 South Pickett Street
Alexandria, VA 22304
(This office handles inquiries for Alabama, Arkansas, Florida, Louisiana, Michigan, Minnesota, Mississippi, and Wisconsin)
(703) 235-2833

**Idaho**
Federal Bldg., Room 398
550 West Fort St.
P.O. Box 042
Boise, ID 83724
(208) 384-1890

**Montana**
Granite Tower
222N 32nd St., P.O. Box 30157
Billings, MT 59107
(460)657-6601

**Nevada**
Federal Bldg., Room 3008
300 Booth St.
P.O. Box 12000
Reno, NV 89520
(702) 784-5777

**New Mexico**
U.S. Post Office and Federal Bldg.
South Federal Place, P.O. Box 1449
Santa Fe, NM 87501
(505) 988-6669

**Oregon**
729 N.E. Oregon St.
P.O. Box 2965
Portland, OR 97208
(503) 231-6442

**Utah**
University Club Bldg.
136 East South Temple
Salt Lake City, UT 84111
(801) 524-4222

**Wyoming**
2515 Warren Ave.
P.O. Box 1828
Cheyenne, WY 82001
(307) 778-2220, 2354

## Bureau of Indian Affairs

### AREA OFFICES

**Alaska**
Juneau Area Office, Box 3-8000
Juneau, AK 99802
(907) 586-7177 FTS 349-0150

**Arizona**
Phoenix Area Office
3030 North Central, P.O. Box 7007
Phoenix, AZ 85011
(602) 261-2305 (Use same 7-digit number for FTS)

**Navajo Area Office**
Donald Dodge
P.O. Box 160
Window Rock, AZ 86515
(602) 871-5151
FTS 479-5012

**California**
(See also Arizona (Phoenix)
William Firale
Sacramento Area Office
Federal Office Bldg.
2800 Cottage Way, Room W-2550
Sacramento, CA 95825
(916) 484-4682
FTS 468-4682

**Colorado**
(See New Mexico)

**District of Columbia**
Harry Rainbolt
Eastern Area Director
1000 Glebe Rd.
Arlington, VA 22201
(703) 235-2571
FTS 235-2571

**Commissioner of Indian Affairs**
1951 Constitution Ave. N.W., Room 4618
Washington, DC 20245
(202) 343-5116

**Florida***
(See District of Columbia (Southeast Agencies)

**Idaho***
(See Arizona (Phoenix), and Oregon)

**Iowa***
(See Minnesota)

**Kansas***
(See Oklahoma (Anadarko)

**Louisiana***
(See District of Columbia
(Southeast Agencies)

**Michigan***
(See Minnesota)

**Minnesota**
Edwin Demery
Minneapolis Area Office
151 S. 5th Street
Minneapolis, MN 55402
(612) 725-2904 (Use same 7-digit number for FTS)

**Mississippi***
(See District of Columbia
(Southeast Agencies)

**Montana**
Anson Baker
Billings Area Office
316 North 26th St.
Billings, MT 59101
(406) 657-6315
FTS 585-6315

**Nebraska***
(See South Dakota)

**Nevada***
(See Arizona (Phoenix)

**New Mexico***
(See also Arizona (Navajo)
Sidney Mills
Albuquerque Area Office
5301 Central Ave., P.O. Box 8327
Albuquerque, NM 87108
(505) 766-3170
FTS 474-3170

**New York***
(See District of Columbia (Commissioner)

**North Carolina***
(See District of Columbia (Southeast Agencies)

**North Dakota***
(See South Dakota)

**Oklahoma**
Stanley Speaks
Anadarko Area Office, Federal Bldg.
P.O. Box 368
Anadarko, OK 73005
(405) 247-6673

Muskogee Area Office, Federal Bldg
Thomas J. Ellison
Muskogee, OK 74401
(918) 687-2297
FTS 736-2296

**Oregon***
(See also Arizona (Phoenix)
Vincent Little
Portland Area Office, 1425 Irving St. N.E.
P.O. Box 3785
Portland, OR 97208
(503) 234-3361
FTS 429-6702

**South Dakota**
Jerry Jaeger
Aberdeen Area Office, Federal Bldg.
115 4th Ave. S.E.
Aberdeen, SD 57401
(605) 225-0250
FTS 782-7343

**Utah***
(see Arizona (Navajo and Phoenix), and Oregon)

**Washington***
(See Oregon)

**Wisconsin***
(See Minnesota)

**Wyoming***
(See Montana)

* Cross-references denote which area or offices provide services to eligible Indians within the State.

## FIELD AGENCIES

**Alaska**
Anchorage Agency, P.O. Box 120
Anchorage, AK 99510
(907) 271-4088

Bethel Agency, P.O. Box 347
Bethel, AK 99559
(907) 452-1951

Fairbanks Agency, P.O. Box 530
Fairbanks, AK 99707
(907) 543-2726

Nome Agency, Box 190
Nome, AK 99762
(907) 443-2284

Southeast Agency, P.O. Box 1587
Juneau, AK 99802
(907) 586-7132

**Arizona**
Chinle Agency
Chinle, AZ 86503
P.O. Box 7
(505) 674-5211

Colorado River Agency
Parker, AZ 85344
(602) 669-2134

Fort Apache Agency
Whiteriver, AZ 85941
(602) 338-4364

Fort Defiance Agency
Fort Defiance, AZ 86504
(602) 729-2301

Fort Yuma Agency
P.O. Box 1591
Yuma, AZ 85364
602-726-2670

Hopi Agency
Keams Canyon, AZ 86034
(602) 738-2221

Papago Agency
Sells, AZ 85634
(602) 729-7284

Pima Agency
Sacaton, AZ 85247
(602) 562-3326

Salt River Agency, Route 1, Box 117
Scottsdale, AZ 85256
(602) 261-3900

San Carlos Agency
San Carlos, AZ 85550
(602) 475-2321

San Carlos Irrigation Project
Coolidge, AZ 85228
(602) 723-5439

Truxton Canon Agency
Valentine, AZ 86437
(602) 769-2241

Western Navajo Agency
Tuba City, AZ 86045
P.O. Box 127
(602) 283-6265

**California**
Central California Agency
P.O. Box 15740
Sacramento, CA 95813
(916) 484-4357

Hoopa Agency
Hoopa, CA 95546
P.O. Box 367
(916) 625-4285

Palm Springs Area Field Office
587 South Palm Canyon Dr.
Palm Springs, CA 92262
(714) 325-2163

Southern California Agency
P.O. Box 2900
5750 Division Street
Riverside, CA 92506
(714) 787-1301

**Colorado**
Southern Ute Agency, P.O. Box 315
Ignacio, CO 81137
(303) 563-4511

Ute Mountain Ute Agency
Towaoc, CO 81334
(303) 565-8471

**Florida**
Miccosukee Agency, P.O. Box 44021
Tamiami Station
Miami, FL 33144
(305) 223-8380

Seminole Agency, 6075 Stirling Rd.
Hollywood, FL 33024
(305) 581-7050

**Idaho**
Fort Hall Agency
Fort Hall, ID 83203
(208) 237-0600

Northern Idaho Agency
Lapwai, ID 83540
(208) 843-2267

**Iowa**
Sac and Fox Area Field Office
Tama, IA 52339
(515) 484-4041

**Kansas**
Haskell Indian Junior College
Lawrence, KS 66604
(913) 843-1831

Horton Agency
Horton, KS 66439
(913) 486-2161

**Minnesota**
Minnesota Agency, P.O. Box 1127
Bemidji, MN 56601
(218) 751-1150

Red Lake Agency
Red Lake, MN 56671
(218) 679-3361

Minnesota Sioux Area Field Office
831 2nd Ave., So.
Minneapolis, MN 55402
(612) 725-2037

**Mississippi**
Choctaw Agency
Philadelphia, MS 39350
421 Powell
(601) 656-1521

**Montana**
Blackfeet Agency
Browning, MT 59417
(406) 338-7511

Crow Agency
Crow Agency, MT 59022
(406) 638-2671

Flathead Agency
Ronan, MT 59864
(406) 676-4700

Flathead Irrigation Project
St. Ignatius, MT 59865
(406) 745-2661

Fort Belknap Agency
Harlem, MT 59526
(406) 353-2263

Fort Peck Agency, P.O. Box 637
Poplar, MT 59255
(406) 768-3441

Northern Cheyenne Agency
Lame Deer, MT 59043
(406) 477-6211

Rocky Boy's Agency
Box Elder, MT 59521
(406) 395-4476

**Nebraska**
Winnebago Agency
Winnebago, NE 68071
(402) 878-2201

**Nevada**
Western Nevada Agency
Stewart, NV 89437
(702) 882-3411

Eastern Nevada Agency
Owyhee, NV 89832
(702) 738-5165

**New Mexico**
Eastern Navajo Agency, P.O. Box 328
Crownpoint, NM 87313
(505) 786-5226

Institute of American Indian Arts
Cerillos Rd.
Santa Fe, NM 87501
(505) 982-3801

Jicarilla Agency
Dulce, NM 87528
(505) 759-3651

Mescalero Agency
Mescalero, NM 88340
(505) 671-4421

Navajo Irrigation Project
900 LaPlata Highway, P.O. Box 2157
Farmington, NM 87401
(505) 325-1864

Northern Pueblos Agency
Federal P.O. Bldg.
Santa Fe, NM 87501
(505) 988-6431

Ramah-Navajo Agency
Ramah, NM 87321
(505) 783-5709

Shiprock Agency
Shiprock, NM 87420
P.O. Box 966
(505) 368-4427

Southern Pueblos Agency
P.O. Box 1667
Albuquerque, NM 87103
(505) 766-3021

Southwestern Indian Polytechnic Institute
1000 Indian School Rd. N.W.
Albuquerque, NM 87103
(505) 843-3033

Zuni Pueblo and Agency
P.O. Box 338
Zuni, NM 87327
(505) 782-4481

**New York**
New York Field Office, Federal Bldg., No. 523
100 S. Clinton Street
Syracuse, NY 13202
(315) 423-5476

**North Carolina**
Cherokee Agency
Cherokee, NC 28719
(704) 497-9131

**North Dakota**
Fort Berthold Agency
New Town, ND 58763
(701) 627-4706

Fort Totten Agency
Fort Totten, ND 58335
(701) 766-4252

Standing Rock Agency
Fort Yates, ND 58538
(701) 854-3431

Turtle Mountain Agency
Belcourt, ND 58316
(701) 477-3135

**Oklahoma**
P.O. Box 309
Anadarko Agency
Anadarko, OK 73005
(405) 247-6673

Ardmore Agency, P.O. Box 997
Ardmore, OK 73401
(405) 223-6767

Concho Agency
Concho, OK 73022
(405) 262-4855

Okmulgee Agency, P.O. Box 370
Okmulgee, OK 74447
(918) 756-3950

Osage Agency
Pawhuska, OK 74056
(918) 287-2481

Miami Agency, P.O. Box 391
Miami, OK 74354
(918) 542-3396

Pawnee Agency
Pawnee, OK 74058
(918) 762-2585

Shawnee Agency, Federal Bldg.
Shawnee, OK 74801
(405) 273-0317

Tahlequah Agency
P.O. Box 828
Tahlequah, OK 74464
(918) 456-6164
FTS 736-2164

Talihina Agency, Drower II
Talihina, OK 74571
(918) 657-2207

Wewoka Agency, P.O. Box 1060
Wewoka OK 74884
(918) 257-5481

**Oregon**
Umatilla Agency
Pendleton, OR 97801
P.O. Box 520
(503) 276-3881

Warm Springs Agency
Warm Springs, OR 97761
(503) 553-1121

**South Dakota**
Cheyenne River Agency
Eagle Butte, SD 57625
(605) 964-2311

Crow Creek Agency, P.O. Box 616
Ft. Thompson, SD 57339
(605) 245-2311

Lower Brule Agency
Lower Brule, SD 57548
(605) 473-5512

Pine Ridge Agency
Pine Ridge, SD 57770
(605) 867-5121

Rosebud Agency
Rosebud, SD 57570
(605) 747-2224

Sisseton Agency
Sisseton, SD 57262
(605) 698-7676

Yankton Agency
Wagner, SD 57380
(605) 384-3651

**Utah**
Uintah and Ouray Agency
Fort Duchesne, UT 84026
(801) 722-2406

**Washington**
Colville Agency
Nespelem, WA 99155
(509) 633-1360

Spokane Agency
Wellpinit, WA 99040
(509) 838-8588

Wapato Irrigation Project
Wapato, WA 98951
(509) 877-3155

Puget Sound Agency
3006 Colby Ave.
Everett, WA 98201
(206) 258-2651

Yakima Agency
P. O. Box 632
Toppenish, WA 98948
(509) 865-2255

**Wisconsin**
Great Lakes Agency
Ashland, WI 54806
(715)682-4527

**Wyoming**
Wind River Agency
Fort Washakie, WY 82514
(307) 225-8301

## Bureau of Reclamation

### REGIONAL OFFICES

**Mid-Pacific**
Federal Office Bldg.,
2800 Cottage Way
Sacramento, CA 95825
(916) 484-4571

**Lower Missouri**
Building 20, Denver Federal Center
Denver, CO 80225
(303) 234-4441

**Pacific Northwest**
P.O. Box 043, 550 West Fort St.
Boise, ID 83724
(208) 342-2101

**Upper Missouri**
P.O. Box 2553
Billings, MT 59103
(406) 585-6214

**Lower Colorado**
P.O. Box 427
Boulder City, NV 89005
(702) 293-8411

**Southwest**
714 S. Tyler, Suite 201
Amarillo, TX 79101
(86) 376-2011

**Upper Colorado**
P.O. Box 11568
Salt Lake City, UT 84147
(801) 524-5592

## Office of Surface Mining Reclamation and Enforcement

### REGIONAL OFFICES

**Region I**
Office of Surface Mining
U.S. Department of the Interior
603 Morris Street
Charleston, W VA 25301
(304) 342-8125
(304) 345-4830 - Number for Inspectors

**Region II**
Office of Surface Mining
U.S. Department of the Interior
530 Gay St., S.W. Suite 500
Knoxville, TN 37902
(615) 637-0100
FTS 852-0100

**Region III**
Office of Surface Mining
U.S. Department of the Interior
Federal Building and Court House
46 East Ohio Street
Indianpolis, IN 46204
(317) 269-2609
FTS 331-2666

### STATE OFFICES

**New Mexico**
Office of Surface Mining
U.S. Department of the Interior
219 Central Avenue N.W.
Albuquerque, NM 87102
(505) 766-1486
FTS 474-1486

**Oklahoma**
Office of Surface Mining
U.S. Department of the Interior
333 West 4th Street, Room 3432
Tulsa, OK 74103
(918) 581-7927
FTS 736-7927

**Missouri**
Office of Surface Mining
U.S. Department of the Interior
Scarritt Building
818 Grand Ave.
Kansas City, MO 64106
(816) 374-5527
FTS 758-5527

**Wyoming**
Office of Surface Mining
U.S. Department of the Interior
P.O. Box 1420
Casper, WY

Office of Surface Mining
U.S. Department of the Interior
Freden Building
935 Pendell Boulevard
Mills, WY 82644
(307) 261-5550
FTS 328-5776

## U. S. Fish and Wildlife Service

### REGIONAL OFFICES

**Fish and Wildlife Service**
Department of the Interior
William Daugherty, Chief
Division of Hatcheries and Fishery Resource Management
Washington, DC 20240
(202) 343-2197

**(Region VII: Alaska)**
Keith M. Schreiner
1011 E. Tudor Road
Anchorage, AK 99503
(907) 276-3800, Ext. 534

Alaska Area Office
813 D. St.
Anchorage, AK 99501
(907) 165-4864

**Colorado**
(Region VI: Colorado, Kansas, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)
Danny Regan
P.O. Box 25486
Denver Federal Center
Denver, CO 80225
(303) 234-4603 (Use same 7-digit number for FTS)

**Georgia**
(Region IV: Alabama, Arkansas, Georgia, Kentucky, Louisiana, Mississippi, Florida, North Carolina, South Carolina, Tennessee Puerto Rico, Virgin Islands)
Frank Richardson
75 Spring St., S.W.
Atlanta, GA 30303
(404) 221-3576
FTS 242-3576

**Massachusetts**
(Region V: Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Washington, DC
David Allen
One Gateway Center
Newton Corner, MA 02158
(303) 234-4603 (Use same 7-digit number for FTS)

**Minnesota**
(Region III: Illinois, Indiana, Iowa Michigan, Minnesota, Missouri, Ohio, Wisconsin)
Daniel Bumgarner
Federal Bldg., Fort Snelling
Twin Cities, MN 55111
(612) 725-3505 (Use same 7-digit number for FTS)

**New Mexico**
(Region II: Arizona, New Mexico, Oklahoma, Texas)
Robert Stephens
P.O. Box 136
U.S. Courthouse and Federal Building
Albuquerque, NM 87103
(505) 766-2323
FTS 474-2323

**Oregon**
(Region I: California, Hawaii, Idaho, Nevada, Oregon, Washington)
Lloyd 500 Bldg., Suite 1692
500 NE Multnomah St
Portland, OR 97232
(503) 231-6118
FTS 429-6118

## Geological Survey

### REGIONAL OFFICES

### (National Mapping Division)

**California**
(Western Mapping Center, 345
Middlefield Rd.
Menlo Park, CA 94025
(415) 323-2411

**Colorado**
(Rocky Mountain Mapping Center)
Denver Federal Center
Denver, CO 80225
(303) 234-2351

**Missouri**
(Midcontinent Mapping Center)
1400 Independence Road
Rolla, MO 65041
(314) 276-9111

**Virginia**
(Eastern Mapping Center) 567 National Center
Reston, VA 22092
(703) 860-6352

### (Water Resources Division)

**California**
(Western Region: Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Washington, Guam, Samoa, other Pacific Islands)
345 Middlefield Road
Menlo Park, CA 94025
(415) 467-2337

**Colorado**
(Central Region: Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming)
Denver Federal Center
Denver, CO 80225
(303) 234-3661

**Virginia**
(Northeastern Region: Connecticut, Illinois, Indiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, New Jersey, New York, Ohio, Pennsylvania, Virginia, West Virginia, Wisconsin)
433 National Center
Reston, VA 22092
(703) 860-6985

**Georgia**
(Southeastern Region: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Puerto Rico)
1459 Peachtree St. N.E., Suite 200
Atlanta, GA 30309.
(404) 257-4395

### (Geologic Division)

**California**
(Western Region)
345 Middlefield Rd.
Menlo Park, CA 94025
(415) 323-2214

**Colorado**
(Central Region)
Federal Center
Denver, CO 80225
(303) 234-3624

**Virginia (Eastern Region)**
953 National Center
Reston, VA 22092
(703) 860-6631

## National Park Service

### NATIONAL HEADQUARTERS

**National Park Service**
18th and C Streets
Washington, DC 20240
(202) 272-3617
FTS 272-3617

### REGIONAL OFFICES

**Mid-Atlantic Regional Office**
National Park Service
143 South Third St.
Philadelphia, PA 19106
(215) 597-7013 (Use same 7-digit number for FTS)

**Midwest Regional Office**
National Park Service
1709 Jackson St.
Omaha, NE 68102
(402) 221-3431
FTS 864-3431

**National Capital Regional Office**
National Park Service
1100 Ohio Drive, SW
Washington, DC 20242
(202) 655-4000
FTS 426-6612

**North Atlantic Regional Office**
National Park Service
15 State St.
Boston, MA 02109
(617) 223-3769 (Use same 7-digit number for FTS)

**Pacific Northwest Regional Office**
National Park Service
601 Fourth and Pike Building
Seattle, WA 98101
(206) 399-5565 (Use same 7-digit number for FTS)

**Rocky Mountain Regional Office**
National Park Service
P.O. Box 25287, 655 Parfet St.
Denver, CO 80225
(303) 234-2500 (Use same 7-digit number for FTS)

**Southeast Regional Office**
National Park Service
75 Spring Street., S.W.
Atlanta, GA 30303
(404) 221-5185
FTS 242-5185

**Southwest Regional Office**
National Park Service
P.O. Box 728
Santa Fe, NM 87501
(505) 488-6388
FTS 476-1388

**Western Regional Office**
National Park Service
450 Golden Gate Ave.
Box 36063
San Francisco, CA 94102
(415) 556-4196 (Use same 7-digit number for FTS)

**Alaska Regional Office**
540 West 5th Avenue, Room 202
Anchorage, AK 99501
(907) 271-4196
FTS 399-0150 - Seattle

### SERVICE CENTERS

**Denver Service Center**
National Park Service
P.O. Box 25287
Denver, CO 80225
(303) 234-4500

**Harpers Ferry Center**
National Park Service
Harpers Ferry, WV 25425
(304) 535-6371
FTS 925-6371

## Drug Enforcement Administration

### REGIONAL OFFICES

**Western Region**
(California, Nevada, Hawaii,Alaska, Washington, Oregon, Idaho, Montana, Guam)
Suite 800, 350 S. Figuero St.
Los Angeles, CA 90071
(213) 798-2650

**Southeastern Region**
South Carolina, Georgia, Flordia, Puerto Rico, North Carolina, Virginia, District of Columbia, Louisiana, Alabama, Arkansas, Mississippi, Tennessee, Maryland, Jamaica, Bahamas)
8400 N.W. 53rd St.
Miami, FL 33166
(305) 820-4870

**North Central Region**
Wisconsin, Illinois, Indiana, Michigan, West Virginia, Ohio, Missouri, Iowa, Nebraska, South Dakota, Kansas, Kentucky, Minnesota, North Dakota)
!800 Dirksen Federal Bldg.
219 South Dearborn St.
Chicago, IL 60604
(312) 353-7875

**Northeastern Region**
New York, Massachusetts, Rhode Island, Connecticut, Canada, New Jersey, Pennesylvania, Delaware, Vermont, New Hampshire, Maine)
555 West 57th St.
New York, NY 10019
(212) 662-5151

**South Central Region**
Texas, Oklahoma, Colorado, Wyoming, New Mexico, Arizona, Utah)
1880 Regal Row
Dallas, TX 75235
(214) 729-7203

## Community Relations Service

### REGIONAL AND LOCAL OFFICES

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Room 1920, 100 Summer St.
Boston, MA 02110
(617) 223-5170

**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands)
Room 3402, U.S. Customs and Courthouse
26 Federal Plaza
New York, NY 10007
(212) 264-0700

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Room 309, U.S. Customs House
2nd and Chestnut St.
Philadelphia, PA 19106
(215) 597-2344

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Room 900, Citizens Trust Co. Bank Bldg.
75 Piedmont Ave. N.E.
Atlanta, GA 30303
(404) 242-6883

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Room 1113, Insurance Exchange Building
175 W. Jackson Blvd.
Chicago, IL 60604
(312) 353-4391

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Room 13B-35, 1100 Commerce St.
Dallas, TX 75242
(214) 729-0824

**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
Room 2411, 911 Walnut St.
Kansas City, MO 64106
(816) 758-2022

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Wyoming, Utah)
4th Floor, 1531 Stout St.
Denver, CO 80202
(303) 327-2973

**Region IX**
(Arizona, California, Hawaii, Nevada, Guam, American, Samoa)
Room 1050, 125 Market St.
San Francisco, CA 94103
(415) 556-2485

**Region X**
(Alaska, Idaho, Oregon, Washington)
Room 1898, 915 Second Avenue
Seattle, WA 98174
(206) 399-4465

## Federal Bureau of Investigation

### SPECIAL AGENT IN CHARGE

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
John F. Kennedy Federal Office Bldg.
Boston, MA 02203
(617) 742-5533
FTS 223-6476

Federal Office Bldg.
150 Court St.
New Haven, CT 06510
(203) 777-6311
FTS 645-2005

Room 502, U.S. Post Office and Courthouse
Albany, NY 12207
(518) 465-7551
FTS 561-8110

**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands)
Room 502, U.S. Post Office and Courthouse
Albany, NY 12207
(518) 465-7551
FTS 561-8110

111 West Huron St., Room 1400
Federal Office Building
Buffalo, NY 14202
(716) 856-7800
FTS 431-3801

Gateway I, Market St.
Newark, NJ 07102
(201) 622-5613
FTS 341-9000

26 Federal Plaza
New York, NY 10278
(212) 553-270
FTS 660-8000

U.S. Courthouse and Federal Office Bldg.
Room 526, Hato Rey, PR
San Juan, PR 00936
(809) 754-6000

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Room 500, 300 North Lee St.
Alexandria, VA 22314
(703) 683-2680
FTS 967-1200

7142 Ambassador Road
Baltimore, MD 21207
(301) 265-8080
FTS 922-4181

Room 839
200 Granby Mall
Norfolk, VA 23510
(804) 623-3111
FTS 931-6766

William J. Green, Jr.
Federal Office Bldg.
600 Arch St.
Philadelphia, PA 19106
(215) 629-0800
FTS 481-001

Room 1300, Federal Office Bldg.
1000 Liberty Ave.
Pittsburgh, PA 15222
(412) 471-2000
FTS 722-7000

200 West Grace St.
Richmond, VA 23220
(804) 644-2631
FTS 925-2627

FBI, Washington Field Office
1900 Half St., SW
Washington, DC 20401
(202) 324-3000 (Use same 7-digit number for FTS)

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Federal Office Building
275 Peachtree St. N.E.
Atlanta, GA 30303
(404) 521-3900
FTS 242-3810

Room 1400, 2121 Bldg.
Birmingham, AL 35203
(205) 252-7705
FTS 221-9286

Room 1120, 307 S. Tryon St.
Charlotte, NC 28202
(704) 372-5484
FTS 672-6156

1529 Hampton St.
Columbia, SC 29201
(803) 254-3011
FTS 677-5661

Federal Office Bldg., Suite 1553
100 W. Capitol St.
Jackson, MS 39201
(601) 948-5000
FTS 490-4697

7820 Arlington Expressway
Oaks V, 4th Floor
Jacksonville, FL 32239
(904) 721-1211
FTS 945-1211

Room 800, 1111 Northshore Drive
Knoxville, TN 37919
(615) 588-8571
FTS 854-4511

Room 502, Federal Office Bldg.
600 Federal Place
Louisville, KY 40202
(502) 583-3941
FTS 352-5189

Room 841, Clifford Davis Federal Office Bldg.
167 N. Main St.
Memphis, TN 38103
(901) 525-7373
FTS 222-3807

3801 Biscayne Blvd.
Miami, FL 33137
(305) 573-3333
FTS 350-4621

520 Federal Office Bldg.
Mobile, AL 36602
(205) 438-3674
FTS 537-3212

5401 Paulsen St.
Savannah, GA 31405
(912) 354-9911
FTS 248-4370

Room 610, Federal Office Bldg.
500 Zack St.
Tampa, FL 33602
(813) 228-7661
FTS 826-2213

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
400 U.S. Post Office and Courthouse Bldg.
Cincinnati, OH 45202
(513) 421-4310
FTS 684-2362

Room 3005, Federal Office Bldg.
1240 East 9th St.
Cleveland, OH 44199
(216) 522-1400
FTS 292-1000

Room 905, Everett McKinley Dirksen Federal Office Bldg.
219 S. Dearborne St.
Chicago, IL 60604
(312) 431-1333
FTS 380-6015

Patrick V. McNamara Federal Office Bldg.
477 Michigan Ave.
Detroit, MI 48226
(313) 965-2323
FTS 226-7100

575 North Pennsylvania St., Room 679
Federal Office Building
Indianapolis, IN 46204
(317) 639-3301
FTS 331-8110

Room 700, Federal Office Bldg. and U.S. Courthouse
517 E. Wisconsin Ave.
Milwaukee, WI 53202
(414) 276-4684
FTS 362-5200

392 Federal Office Bldg.
Minneapolis, MN 55401
(612) 339-7861
FTS 781-7861

535 West Jefferson St.
Springfield, IL 62702
(217) 522-9675
FTS 955-9096

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
301 Grand Avenue, N. E.
Albuquerque, NM 87102
(505) 247-1555
FTS 471-6992

Suite 300
1801 North Lamar
Dallas, TX 75202
(214) 741-1851
FTS 749-6811

202 U.S. Courthouse
El Paso, TX 79901
(915) 533-7451
FTS 572-7670

Room 6015, Federal Office Bldg. and U.S. Courthouse
515 Rusk Ave.
Houston, TX 77002
(713) 224-1511
FTS 521-3090

Room 433, U.S. Courthouse and Post Office Bldg.
615 East Houston
San Antonio, TX 78206
(512) 225-6741
FTS 730-6691

215 U.S. Post Office Bldg.
Little Rock, AR 72201
(501) 372-7211
FTS 740-6144

701 Loyola Ave.
New Orleans, LA 70113
(504) 522-4670
FTS 682-2918

50 Penn Pl., Suite 1600
Oklahoma City, OK 73118
(405) 842-7471
FTS 736-4931

**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
Room 2704, Federal Office Bldg.
1520 Market St.
St. Louis, MO 63103
(314) 241-5357
FTS 271-0320

Room 300, U.S. Courthouse
Kansas City, MO 64106
(816) 221-6100
FTS 758-5106

Room 7401, Federal Office Building and U.S. Post Office and Courthouse
215 N 17th St.
Omaha, NE 68102
(402) 348-1210
FTS 864-3641

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
Room 115, U.S. Courthouse and Federal Office Bldg
Butte, MT 59702
(406) 782-2304
FTS 585-2391

Room 18218, Federal Office Bldg
Denver, CO 80202
(303) 629-7171
FTS 321-1500

392 Federal Office Building
Minneapolis, MN 55401
(612) 339-7861
FTS 781-7861

Room 3203, Federal Office Bldg
125 S. State St
Salt Lake City, UT 84138
(801) 355-7521
FTS 588-4185

**Region IX**
(Arizona, California, Hawaii, Nevada, Guam, American Samoa)
Kalanianaole Fed. Office Bldg
Room 4307, 300 Ala Moana Blvd.
Honolulu, HI 96850
(808) 521-1411

Room 219, Federal Office Bldg.
Las Vegas Blvd. S.
Las Vegas, NV 89101
(702) 385-1281
FTS 598-6301

Federal Office Building
11000 Wilshire Blvd.
Los Angeles, CA 90024
(213) 272-6161
FTS 791-1550

2721 North Central Ave.
Phoenix, AZ 85004
(602) 279-5511
FTS 761-4121

Federal Office Bldg.
2800 Cottage Way
Sacramento, CA 95825
(916) 481-9110
FTS 468-9110

Federal Office Bldg.
880 Front St., Room 6S31
San Diego, CA 92188
(714) 231-1122
FTS 891-6122

450 Golden Gate Ave.
San Francisco, CA 94102
(415) 552-2155

FTS 448-9155

**Region X**
(Alaska, Idaho, Oregon, Washington)
Room E-222, Federal Office Bldg.
701 C Street
Anchorage, AK 99513
(907) 276-4441
FTS 271-3660

Room 115, U.S. Courthouse and Federal Office Building
Butte, MT 59702
(406) 782-2304
FTS 585-2391

Crown Plaza Bldg.
1500 SW 1st Ave.
Portland, OR 97201
(503) 224-4181
FTS 421-4181

Room 710, Federal Office Building
915 Second Ave.
Seattle, WA 98174
(206) 622-0460
FTS 391-8760

## JUSTICE MANGEMENT DIVISION AUDIT STAFF

### Regional Audit Offices

**Atlanta Regional Audit Office**
101 Marietta Towers, 23rd Floor, Suite 2322
Atlanta, GA 30323-2401
FTS 242-5037

**Burlingame Regional Audit Office**
1818 Gilbreth Rd., Suite 153
Burlingame, CA 94010
FTS 470-9347

**Chicago Regional Audit Office**
175 W. Jackson Blvd., Suite A-1335
Chicago, IL 60604-2767
FTS 353-1203

**Denver Regional Audit Office**
Tremont Center Bldg., 3rd Floor
333 W. Colfax
Denver, CO 80204
FTS 327-2501

**Sacramento Area Audit Office**
Department of Justice
P.O. Box 3010
Sacramento, CA 95812-3010
FTS 448-2131

**Washington Regional Audit Office**
1 Skyline Place, Suite 1600
Washington, DC 20530
FTS 756-6277

## Naturalization Information

### FIELD OFFICES

**Alaska**
701 C St., Room D-229
Federal Building, U.S. Courthouse
Anchorage, AK 99510
(907) 271-5029

**Arizona**
Federal Bldg., 230 North 1st Ave.
Phoenix, AZ 85025
(602) 261-3122

**California**
300 North Los Angeles St.
Los Angeles, CA 90012
(213) 688-2780

800 Front Street
San Diego, CA 92188
(714) 293-6250

Appraisers Bldg.
630 Sansome St.
San Francisco, CA 94111
(415) 556-2070

California
Terminal Island
San Pedro, CA 90731
(213) 548-2357

Federal Building, U.S. Courthouse
1130 O Street
Fresno, CA 93721
(209) 487-5091

Federal and U.S. Courthouse Building
Room 1-060
630 Capitol Mall
Sacramento, CA 95814
(916) 440-3241

701 W. 17th Street
Santa Ana, CA 92701
(714) 836-2327

**Colorado**
1787 Federal Building
Denver, CO 80202
(303) 837-3526

**Connecticut**
900 Asylum Ave.
Hartford, CT 06105
(203) 244-2659

**District of Columbia**
25 E St., N.W.
Washington, DC 20538
(202) 724-0137

**Florida**
155 South Miami Ave
Miami, FL 33130
(305) 350-5711

Post Office Building
Room 227
P.O. Box 4608
311 W. Monroe Street
Jacksonville, FL 32201
(904) 791-2614

500 Zack Street
Room 539
Tampa, FL 33603
(813) 228-2131

**Georgia**
Richard B. Russell
75 Spring St., S.W., Room 1408
Federal Building
Atlanta, GA 30303
(404) 221-5158

**Hawaii**
P.O. Box 461, 595 Ala Moana Blvd.
Honolulu, HI 96809
(808) 546-8979

**Illinois**
Dirksen Federal Office Bldg
219 South Dearborn St
Chicago, IL 66604
(312) 353-7300

**Indiana**
104 Federal Bldg., 507 State St
Hammond, IN 46320
(219) 932-5241

**Louisiana**
New Federal Bldg., 701 Loyola Ave
New Orleans, LA 70113
(504) 589-6533

**Maine**
76 Pearl Street
Portland, ME 04112
(207) 780-3352

**Maryland**
E. A. Garmatz
Federal Building
100 South Hanover St.
Baltimore, MD 21201
(301) 962-2010

**Massachusetts**
John F. Kennedy Federal Bldg.
Government Center
Boston, MA 02203
(617) 223-2343

**Michigan**
Federal Bldg.
333 Mount Elliott St.
Detroit, MI 48207
(313) 226-3240

**Minnesota**
927 Main Post Office Building
180 East Kellogg Blvd
St. Paul, MN 55101
(612) 725-7108

Minnesota
Fort Snelling
Twin Cities, MN 55111
(612) 725-4451

**Missouri**
324 E. Eleventh St., Suite 1100
Kansas City, MO 64106
(816) 374-3421

Room 423, U.S. Courthouse and Customhouse
1114 Market St.
St. Louis, MO 63101
(314) 425-4532

**Montana**
Federal Bldg.
301 South Park
Room 512
Helena, MT 59601
(46) 449-5288

**Nebraska**
Federal Office Building, Room 1008
16 South 15th St.
Omaha, NE 68102
(402) 221-4651

**Nevada**
Federal Building, U.S. Courthouse
300 Las Vegas Blvd. South
Las Vegas, NV 89101
(702) 385-6251

**Nevada**
350 South Center Street
Suite 150
Reno, NV 89502
(702) 784-5427

**New Jersey**
Federal Bldg., 970 Broad St.
Newark, NJ 07102
(201) 645-3350

**New York**
Room 220, Post Office Bldg.,
445 Broadway
Albany, NY 12201
(518) 472-2434

250 175 Remsen St. Brooklyn, NY 11201
(212) 330-7867

68 Court St.
Buffalo, NY 14202
(716) 846-4742

26 Federal Plaza
NY, NY 10007
(212) 349-8735

**Ohio**
U.S. Post Office and Courthouse
5th and Walnut Sts.
P.O. Box 537
Cincinnati, OH 45201
(513) 684-2933

Room 1917, Federal Office Bldg.
1240 East 9th St.
Cleveland, OH 44199
(216) 522-4770

**Oregon**
Federal Office Building
511 N.W. Broadway
Portland, OR 97209
(503) 221-2271

**Pennsylvania**
U.S. Courthouse, Room 1321
Independence Mall West
601 Market Street
Philadelphia, PA 19106
(215) 597-7305

2130 Federal Bldg.
1000 Liberty Avenue
Pittsburgh, PA 15222
(412) 644-3360

**Rhode Island**
Federal Bldg.
U.S. Post Office, Exchange Terrace
Providence, RI 02903
(401) 528-4375

**Texas**
343 U.S. Courthouse
P.O. Box 9398
El Paso, TX 79984
(915) 543-7600

Skyline Center, Building C
311 N. Stemmons Freeway
Dallas, TX 75270
(214) 767-0514

2627 Caroline St.
Houston, TX 77004
(713) 226-4251

U.S. Federal Building, Room A301
727 East Durango
San Antonio, TX 78206
(512) 229-6350

Texas 719
719 Grimes Avenue
Harlingen, TX 78550
(512) 425-7333

Texas
First International Building
1201 Elm Street, Room 2300
Dallas, TX 75270
(214) 767-6000

**Utah**
Room 4103, New Federal Bldg
125 South State St.
Salt Lake City, UT 84138
(801) 524-5690

**Vermont**
Federal Bldg., P.O. Box 591
St. Albans, VT 05478
(802) 524-6742

Vermont
Federal Building, Elmwood Avenue
Burlington, VT 05401
(802) 951-6223

**Virginia**
Norfolk Federal Building
200 Granby Mall
Norfolk, VA 23510
(804) 441-3081

**Washington**
815 Airport Way South
Seattle, WA 98134
(26) 442-5950

691 U.S. Courthouse Bldg.
Spokane, WA 99201
(509) 456-3824

**Wisconsin**
Federal Bldg, Room 186
517 East Wisconsin Ave.
Milwaukee, WI 53202
(414) 291-3565

**Guam**
801 Pacific News Bldg.
238 O'Hara St.
Agana, GU 96910
472-6411

**Puerto Rico**
GPO Box 568
San Juan, PR 00936
(809) 753-4329

**North Carolina**
Charles R. Jonas
Federal Bldg.
P.O. Box 31247
401 West Trade Street
Charlotte, NC 28231
(704) 371-6166

**Tennessee**
814 Federal Building
167 North Main Street
Mempis, TN 38103
(901) 521-3301

## Bureau of Labor Statistics

### REGIONAL OFFICES

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Room 1603-B, JFK Government Center
Boston, MA 02203
(617) 223-6727
Shirley Radlo (617) 223-6761 (Use same 7-digit number for FTS)

**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands, Canal Zone)
Martin Karlin
1515 Broadway
New York, NY 10036
(212) 944-3121
FTS 265-3121

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Bill Murray
For letter mail: P.O. Box 13309
Philadelphia, PA 19101
3535 Market St.
Philadelphia, PA 19104
Public Information: (215) 596-1154 (Use same 7-digit number for FTS)

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Pat Nielsen
1371 Peachtree St. N.E., Room 540
Atlanta, GA 30309
(404) 881-4416
FTS 257-4418

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
9th Flr., Federal Office Bldg.
230 South Dearborn St.
Chicago, IL 60604
(312) 353-7226
Ronald Guzicki (312) 353-1880 (Use same 7-digit number for FTS)

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Nic Santangelo
2nd Flr. 555 Griffin Square Bldg.
Dallas, TX 75202
(214) 767-6971
FTS 729-6971

**Regions VII and VIII**
(Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)
Rita Kerr
Federal Office Bldg., 911 Walnut St.
Room 1500
Kansas city, MO 64106
(816) 374-2378
FTS 758-2481

**Regions IX and X**
(Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Washington)
Anne Burke
450 Golden Gate Ave., P.O. Box 36017
San Francisco, CA 94102
(415) 556-3178
(415) 556-4678 (Use same 7-digit number for FTS)

## Labor-Management Services Administration

### REGIONAL AND AREA OFFICES

**Regions I and II**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont, New York, New Jersey, Puerto Rico, Virgin Islands, Canal Zone)
Susan Green
Room 3515, 1515 Broadway
New York, NY 10036
(212) 944-3418
FTS 265-3418

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Joseph Hickey
14120 Gateway Bldg.
3535 Market St.
Philadelphia, PA 19104
(215) 596-1134 (Use same 7-digit number for FTS)

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Louis Chini
Room 300, 1371 Peachtree St. N.E.
Atlanta, GA 30367
(404) 881-4237
FTS 257-4237

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Lois Jacobs
Room 1060, Federal Office Bldg.
230 South Dearborn St.
Chicago, IL 60604
(312) 353-0133 (Use same 7-digit number for FTS)

**Regions VI, VII, and VIII**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)
Steven Eischen
Room 2200, Federal Office Bldg.
911 Walnut St.
Kansas City, MO 64106
(816) 374-5131
FTS 758-5131

**Regions IX and X**
(Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Washington)
Robert B. Koenig
Room 9061, Federal Office Bldg.
450 Golden Gate Ave.
San Francisco, CA 94102
(415) 556-5917 (Use same 7-digit number for FTS)

**California**
Ricki Curry
Room 4334, Federal Bldg.
300 North Los Angeles St.
Los Angeles, CA 90012
(213) 688-4975
FTS 798-4975

**Colorado**
Henry C. Lee
Federal Bldg., Room 1523
1961 Stout St.
Denver, CO 80294
(303) 837-5061
FTS 327-5061

**District of Columbia**
Vacant
Room 588, Riddell Bldg.
1730 K St. N.W.
Washington, DC 20006
(202) 254-6510 (Use same 7-digit number for FTS)

**Florida**
B.R. Withers, Jr.
Suite 504, Washington Sq. Office Bldg.
111 N.W. 183rd St.
Miami, FL 33169
(305) 350-4611 (Use same 7-digit number for FTS)

**Hawaii**
Ernest Shimada
Room 5115, P.O. Box 50204
300 Ala Moana Blvd.
Honolulu, HI 96850
(808) 546-8984 (Use same 7-digit number for FTS)

**Louisiana**
Donald H. Williams
Room 940, Federal Office Bldg.
600 South St.
New Orleans, LA 70130
(504) 589-6173
FTS 682-6173

**Massachusetts**
Manuel Eber
Room 211, New Studio Bldg.
110 Tremont St.
Boston, MA 02108
(617) 223-6736 (Use same 7-digit number for FTS)

**Michigan**
James De Haan
Room 630
Federal Bldg. and U.S. Courthouse
231 W. Lafayette St.
Detroit, MI 48226
(313) 226-6200 (Use same 7-digit number for FTS)

**Minnesota**
James A. Barnett
Room 652, East Butler Square Bldg.
100 N Sixth St.
Minneapolis, MN 55403
(612) 725-2292 (Use same 7-digit number for FTS)

**Missouri**
Gregory P. Egan
Room 570, 210 Tucker Blvd.
St. Louis, MO 63101
(314) 425-4691
FTS 279-4691

**New Jersey**
Thomas Daly
Room 201, 134 Evergreen Place
East Orange, NJ 07018
(201) 645-3712
FTS 341-3712

**New York**
Joseph Simiele
Room 1310, Federal Bldg.
111 West Huron St.
Buffalo, NY 14202
(716) 846-4861
FTS 437-4861

**Ohio**
Joseph D. Caiola
Room 821, Federal Office Bldg.
1240 East Ninth St.
Cleveland, OH 44199
(216) 522-3855
FTS 293-3855

**Pennsylvania**
William B. Kane
Room 804, Federal Office Bldg.
1000 Liberty Ave.
Pittsburgh, PA 15222
(412) 644-2925
FTS 722-2925

**Puerto Rico**
Mario Paoli
Room 650, Federal Office Bldg.
Carlos Chardon Street
Hato Rey, PR 00918
(809) 753-4441 (Use same 7-digit number for FTS)

**Tennessee**
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John A. LeMay
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Seattle, WA 98174
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## Employment and Training Administration

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**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Timothy Barnicle
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Boston, MA, 02203
Government Center
Boston, MA 02203
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**Region II**
(New York, New Jersey, Puerto Rico, Virgin Islands, Canal Zone)
Thomas E. Hill, Acting
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New York, NY 10036
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FTS 662-3209

**Region III**
Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
William J. Haltigan
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**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
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**Region V**
(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)
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**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Floyd E. Edwards
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**Region VII**
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Richard G. Miskimins
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**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
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**Region IX**
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**Region X**
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## STATE EMPLOYMENT SECURITY AGENCIES

**Alabama**
Dept. of Industrial Relations
Industrial Relations Bldg.
649 Monroe St.
Montgomery, AL 36230
(205) 832-3626

**Alaska**
Employment Security Division
Department of Labor
P.O. Box 3-7000
Juneau, AK 99811
(907) 465-2714

**Arizona**
Dept. of Economic Security
P.O. Box 6123
Phoenix, AZ 85005
(602) 255-5678

**Arkansas**
Employment Security Commission
P.O. Box 2981
Little Rock, AR 72203
(501) 371-2121

**California**
Employment Development Dept.
800 Capitol Mall
Sacramento, CA 95814
(916) 455-9212

**Colorado**
Dept. of Employment
Division of Employment and Training
251 E. 12th Avenue
Denver, CO 80203
(303) 866-6523

**Connecticut**
Unemployment Compensation Act
Connecticut Labor Dept.
200 Folly Brook Blvd.
Wethersfield, CT 06109
(203) 566-4384

**Delaware**
Secretary of Labor
Department of Labor
820 North French Street
Wilmington, DE 19801
(302) 571-2710

**District of Columbia**
Department of Employment Services
Department of Labor
500 C St., N.W., Rm 600
Washington, DC 20001
(202) 724-3982

**Florida**
Division of Employment Security
Dept. of Labor and Employment Security
Caldwell Bldg.
Tallahassee, FL 32304
(904) 488-7228

**Georgia**
Dept. of Labor
Employment Security Agency
254 Washington Street, S.W.
Atlanta, GA 30334
(404) 656-3014

**Guam**
Department of Labor
P. O. Box 2950
Agana, GU 96910

**Hawaii**
Dept. of Labor and Industrial Relations
825 Mililani St.
Honolulu, HI 96813
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Dept. of Employment
P.O. Box 35
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910 Michigan Ave.
Chicago, IL 60605
(312) 793-5700

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Employment Security Division
10 North Senate Ave.
Indianapolis, IN 46204
(317) 232-7670

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Job Service of Iowa
1000 East Grand Ave.
Des Moines, IA 50319
(515) 281-5361

**Kansas**
Division of Employment
Dept. of Human Resources
401 Topeka Ave.
Topeka, KS 66603
(913) 296-5076

**Kentucky**
Bureau for Manpower Services
Department for Human Resources
275 E. Main St.
Frankfort, KY 40621
(502) 564-5331

**Louisiana**
Office of Employment Security
Employment Security Bldg.
1001 North 23d St.
P.O. Box 44094
Baton Rouge, LA 70804
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**Maine**
Dept. of Labor
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Augusta, ME 04330
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Employment Security Administration
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Charles F. Hurley Bldg.
Boston, MA 02114
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Department of Labor
Michigan Employment Security Commission
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Detroit, MI 48202
(313) 876-5500

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390 North Robert St.
St. Paul, MN 55101
(612) 296-3711

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Jackson, MS 39205
(601) 354-8711

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**Montana**
Department of Labor and Industry
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Division of Employment
Department of Labor
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State House Station
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500 East Third St.
Carson City, NV 89713
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Concord, NH 03301
(603) 224-3311, Ext. 211

**New Jersey**
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Trenton, NJ 08625
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**New Mexico**
Employment Security Department
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**New York**
Department of Labor
State Campus Bldg. 12
Albany, NY 12240
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**North Carolina**
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(919) 733-7546

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Job Service North Dakota
Box 1537
Bismarck, ND 58505
(701) 244-2837

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Bureau of Employment Services
145 South Front St.
Columbus, OH 43215
(614) 466-2100

**Oklahoma**
Employment Security Commission
Will Rogers Memorial Office Bldg.
Oklahoma City, OK 73105
(405) 521-3795

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875 Union St. N.E.
Salem, OR 97311
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7th and Forster Sts.
Harrisburg, PA 17121
(717) 787-6223

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505 Munory Ave.
Hato Rey, PR 00918
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24 Mason St.
Providence, RI 02903
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Capitol Lake Plaza, P.O. Box 307
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Cordell Hull State Office Bldg.
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**Texas**
Texas Employment Commission
638 TEC Bldg., 15th & Congress Ave.
Austin, TX 78778
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P.O. Box 11249
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(801) 533-2201

**Vermont**
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**Virginia**
Virginia Employment Commission
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Richmond, VA 23211
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**Virgin Islands**
Employment Security Agency
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Charlotte Amalie
St. Thomas, VI 00801
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Wisconsin Job Service
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(608) 266-7074

**Wyoming**
Employment Security Commission
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## Employment Standards Administration

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**Region VII**
(Canal Zone, New Jersey, New York, Puerto Rico, Virgin Islands)
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**Region VIII**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Charles Angell
Gateway Bldg., 15th Flr.
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Philadelphia, PA 19104
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**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
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Atlanta, GA 30367
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FTS 257-2818

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
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U.S. Courthouse and Federal Office Bldg.
8th Flr., Room 869
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(Iowa, Kansas, Missouri, Nebraska)
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Kansas City, MO 64106
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FTS 758-5381

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**Region III**
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Gateway Building, 15th Flr.
3535 Market Street
Philadelphia, PA 19104
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**Region IV**
Richard Robinette
Room 105, 1371 Peachtree Street, N.E.
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Sterling B. Williams
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Birmingham, AL. 35256
(205) 254-1301
FTS 229-1301

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230 South Dearborn Street
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Chicago, IL 60604
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**Region VI**
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Young and Griffin Streets
Dallas, TX 75202
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**Region VII**
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Kansas City, MO 64106
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**Region VIII**
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1961 Stout Street
Denver, CO 80294
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**Region IX**
Herbert A. Goldstein
Room 10353, 450 Golden Gate Avenue
San Francisco, CA 94102
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**Region X**
Wilbur Olson
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**Alaska**
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**District of Columbia**
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415 W. Broughton St., Room 104
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**Idaho**
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James Stanley
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South Bend, IN 46601
(219) 234-4045
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210 Walnut St.
Des Moines, IA 50309
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**Kansas**
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**Kentucky**

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Stanley Simpson
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Hyattsville, MD 20782
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Richmond, VA 23240
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FTS 925-2995

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Eugene T. Kord
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1520 Third Ave.
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**West Virginia**
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Charleston, WV 25301
(304) 343-6181, Ext. 448
FTS 924-1448

**Wisconsin**
Jerome H. Estock
Federal Center Bldg., Rm. 309
212 E. Washington Ave.
Madison, WI 53703
(608) 264-5221
FTS 364-5221

Edmund Shedd
Room 601, Federal Bldg.
517 E. Wisconsin Ave.
Milwaukee, WI 53202
(414) 291-3585
FTS 362-3585

**Wyoming**
(Salt Lake City, UT area office or Denver, CO, area office)

**Puerto Rico**
Ronaldo M. Sanabria, Jr.
New Federal Bldg., Room 152
Carlos Chardon St.
Hato Rey, PR 00918
(809) 753-4463
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## OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAMS

### REGIONAL OFFICES

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Leonard J. Biermann
Room 1612C
John F. Kennedy Federal Bldg.
Government Center
Boston, MA 02203
(617) 223-4232 (Use same 7-digit number for FTS)

**Region II**
(New York, New Jersey, Puerto Rico, Virgin Islands, Canal Zone)
Samuel Lynn
1515 Broadway, Room 3308
New York, NY 10036
(212) 944-3403
FTS 265-3402

**Region III**
(Pennsylvania, Maryland, Delaware, District of Columbia, West Virginia, Virginia)
Irene Mee
3535 Market St., Gateway Bldg., Room 1310
Philadelphia, PA 19104
(215) 596-6168 (Use same 7-digit number for FTS)

**Region IV**
(Mississippi, Tennessee, Alabama, Florida, South Carolina, North Carolina, Georgia, Kentucky)
Donald G. Webster
1371 Peachtree St. N.E., Room 111
Atlanta, GA 30367
(404) 881-4211
FTS 257-4211

**Region V**
(Wisconsin, Illinois, Indiana, Minnesota, Ohio, Michigan)
Jay F. Sauls
230 S. Dearborn St., Room 3910
Chicago, IL 60604
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**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Jose Montoya
555 Griffin Square Bldg., Rm. 505
Young and Griffin Streets
Dallas, TX 75202
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FTS 729-4771

**Region VII**
(Nebraska, Kansas, Iowa, Missouri)
Bennie L. Daugherty, Jr.
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911 Walnut St.
Kansas City, MO 64106
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**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
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1961 Stout St.
Denver, CO 80294
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FTS 327-5011

**Region IX**
(Arizona, California, Hawaii, Nevada, and Guam)
William Gladden
450 Golden Gate Ave., Room 11435
San Francisco, CA 94102
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**Region X**
(Alaska, Washington, Oregon, Idaho)
George Roybal
Federal Office Bldg.
909 First Avenue, Rm. 3088
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**Arizona**
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Hartford, CT 06103
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**District of Columbia**
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Fort Worth, TX 76102
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Houston, TX 77002
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Roberto Ornelas
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**Virginia**
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Richmond, VA 23219
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Seattle, WA 98101
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FTS 399-7182

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Milwaukee, WI 53202
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FTS 362-3821

**Puerto Rico**
Edwin Rivera
New Federal Office Building
Room 403-D
Carlos Chardon Street
Hato Rey, PR 00918
809 753-4998

## OFFICE OF WORKERS' COMPENSATION PROGRAMS

### LONG SHORE AND HARBOR WORKERS' COMPENSATION DISTRICT OFFICES

**Massachusetts**
(District 1: Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, Connecticut)
Daniel J. Sullivan
JFK Federal Bldg., Room 1800
Government Center
Boston, MA 02203
(617) 223-6755 (Use same 7-digit number for FTS)

**New York**
(District 2: New York, New Jersey, Puerto Rico, Virgin Islands)
Joseph Mastrangelo
Room 3346, 1515 Broadway
New York, NY 10036
(212) 265-3376
FTS 265-3376

**Pennsylvania**
(District 3: Pennsylvania, West Virginia, Delaware)
James D. Brown
Gateway Bldg.
3535 Market St., Room 15200
Philadelphia, PA 19104
(215) 596-1180 (Use same 7-digit number for FTS)

**Illinois**
(District 10: Illinois, Minnesota, Wisconsin, Ohio, Indiana, Michigan)
Thomas J. Frye
230 South Dearborn St., Room 728
Chicago, IL 60604
(312) 353-2697 (Use same 7-digit number for FTS)

**California**
(District 13: California, Arizona, Nevada)
Gerald T. Cullen
450 Golden Gate Ave.
Box 36022, Room 10301
San Francisco, CA 94102
(415) 556-6183 (Use same 7-digit number for FTS)
(District 18)

Edward Corley
P. O. Box 3327
300 S. Ferry St., Room 2525
Terminal Island, CA 90731
(213) 548-2687
FTS 796-2687

**Washington**
(District 14: Washington, Oregon, Alaska, Idaho)
Reginald J. Johnson
4010 Federal Office Bldg.
909 First Ave.
Seattle, WA 98174
(206) 442-5521
FTS 399-5521

**Virginia**
(District 5: Virginia)
Basil Voultsides
200 Granby Mall
Federal Bldg., Rm. 212 East
Norfolk, VA 23510
(804) 441-3071
FTS 827-3071

**Florida**
(District 6: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Robert H. Bergeron
U.S. Post Office and Courthouse Building
311 West Monroe Street, Room 139
P.O. Box 52598
Jacksonville, FL 32201
(904) 791-2881
FTS 946-2881

**Maryland**
(District 4: Maryland, District of Columbia)
Bruno DiSimone
Room 1026 Federal Bldg.,
31 Hopkins Plaza
Baltimore, MD 21201
(301) 962-3677
FTS 922-3677

**Louisiana**
(District 7: Arkansas, Louisiana)
Glen H. Woodley
Hale Boggs Federal Bldg.
500 Camp St., Room 1020
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FTS 682-2914

**Texas**
(District 8: Texas, Oklahoma, New Mexico)
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Galveston, TX 77563
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**Hawaii**
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FTS 8-808-546-8336

(District 40: District of Columbia DCCA)
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## Coal Mine Workers' Compensation

### DISTRICT OFFICES

**Pennsylvania**
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(Western Pennsylvania)
Margaret Peterson
(Rear)
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Greensburg, PA 15601
(412) 836-7230

Pennsylvania
All States
Vacant
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Johnstown, PA 15901
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(Northern West Virginia, Maryland, Delaware, District of Columbia)
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**West Virginia**
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**Kentucky**
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William Staarman
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## Occupational Safety and Health Administration

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**Region I**
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**Region II**
(Canal Zone, New York, New Jersey, Puerto Rico, Virgin Islands)
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**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
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**Region IV**
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(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)
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Chicago, IL 60604
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**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
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**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
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**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
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**Region IX**
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Area Director
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Area Director
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Area Director
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1400 Torrence Ave., 2nd Flr.
Calumet City, IL 60409
(312) 891-3800

Area Director
228 N.E. Jefferson, 3rd Flr.
Peoria, IL 61603
(309) 671-7033
FTS 360-7033

Area Director
344 Smoke Tree Business Park
North Aurora, IL 60542
(312) 896-8700

Area Director
6000 W. Touhy Ave.
Niles, IL 60648
(312) 631-8200/8535

**Indiana**
Area Director
Room 423, U.S. Post Office and Courthouse
46 East Ohio St.
Indianapolis, IN 46204
(317) 269-7290
FTS 331-7290

**Iowa**
Area Director
210 Walnut St., Room 815
Des Moines, IA 50309
(515) 284-4794
FTS 862-4794

**Kansas**
Area Director
216 North Waco, Suite B
Wichita, KS 67202
(316) 267-6311, Ext. 644
FTS 752-6644

**Kentucky**
Don W. Harvey
U.S. Department of Labor-OSHA
John C. Watts Federal Building
330 West Broadway, Room 127
Frankfort, KY 40601
(502) 227-7024 (Com'l)

**Louisiana**
Area Director
600 South St., Room 337
New Orleans, LA 70130
(504) 589-2451 or 2452
FTS 682-6166, 6167
FTS 682-2451, 2452

Area Director
2156 Wooddale Blvd.
Hoover Annex, Suite 200
Baton Rouge, LA 7086
(504) 923-0718, Ext. 474
FTS 687-0474

**Maine**
Area Director
MDC Bldg.
Federal Bldg., Room 617B
555 Main St.
Hartford, CT 06103
(203) 244-2294 (Use same 7-digit number for FTS)

Area Director
U.S. Federal Bldg., Room 120
40 Western Avenue
Augusta, Maine 04330
(207) 622-6171
FTS 833-6417

**Maryland**
Area Director
Room 1110, Federal Bldg.
31 Hopkins Plaza, Charles Center
Baltimore, MD 21201
(301) 962-2840
FTS 922-2840

**Massachusetts**
Area Director
400-2 Totten Pond Rd.
Waltham, MA 02154
(617) 890-1239
FTS 839-7681

Area Director
1200 Main Street, Suite 513
Springfield, MA 01103
(413) 781-2420, Ext. 522
FTS 836-9522 or 9523

**Michigan**
Area Director
231 West Lafayette, Room 628
Detroit, MI 48226
(313) 226-6720 (Use same 7-digit number for FTS)

**Minnesota**
Area Director
801 Butler Square Bldg.
100 North Sixth Street
Minneapolis, MN 55403
(612) 725-2571 (Use same 7-digit number for FTS)

Area Director
FOB - USPO & Courthouse, Room 208
211 W. Ferguson Street
Tyler, TX 75701
Comm. Phone: 214-595-1404

**Mississippi**
Area Director
Federal Bldg., Suite 1445
100 West Capitol St.
Jackson, MS 39201
(601) 960-4066
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**Missouri**
Area Director
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12 Grand Bldg.
Kansas City, MO 64106
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Bernard D. Olson, Area Director
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St. Louis, MO 63101
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FTS 279-5461

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2812 1st Ave., North
Billings, MT 59101
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FTS 585-6649

**Nebraska**
Area Director
Overland-Wolf Building, Room 100
6910 Pacific Street
Omaha, NE 68106
(402) 221-9341
FTS 864-9341

Area Director
113 West 6th St., 2nd Floor
North Platte, NE 69101
(308) 534-9450
FTS (Through Omaha 864-1221)

**Nevada**
Area Director
1100 E. William St., Suite 222
Carson City, NV 89701
(702) 883-1226

**New Hampshire**
Area Director
Room 334, Federal Bldg.
55 Pleasant St.
Concord, NH 03301
(603) 224-1995
FTS 834-4725 or 4785

**New Jersey**
Area Director
970 Board St., Room 1435C
Newark, NJ 07102
(201) 645-5930
FTS 341-5930

Area Director
Building T3
Belle Mead GSA Depot
Belle Mead, NJ 08502
(201) 359-2777
FTS 342-5323

Area Director
Teterboro Airport Professional Bldg.
377 Rt. 17, Room 26
Hasbrouck Heights, NJ 07604
(201) 288-1700

Area Director
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Camden, NJ 08104
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FTS 488-5181

Area Director
2E Blackwell St.
Dover, NJ 07801
(201) 361-4050

**New Mexico**
Area Director
Western Bank Bldg., Rm. 1125
505 Marguette Ave. N.W.
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FTS 474-3411

**New York**
Area Director
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Flushing, NY 11354
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Leo W. O'Brien Federal Bldg.
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Rochester, NY 14614
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FTS 656-9721

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Westbury, NY 11590
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Area Director
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William J. Green, Jr. Federal Bldg.
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FTS 722-2905

Area Director
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Harrisburg, PA 17109
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FTS 590-3902

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Erie, PA 16501
Comm. Phone: (814) 453-4351
FTS 721-2242

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Hato Rey, PR 00918
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FTS 838-4667

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Columbia, SC 29204
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FTS 852-5313

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FTS 738-7681

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Houston, TX 77058
(713) 226-4357
FTS 527-4357

Area Director
American Bank Tower, Suite 310
221 W. 6th St.
Austin, TX 78701
(512) 397-5783
FTS 734-5783

**Area Director**
Ft. Worth Federal Center
4900 Hemphill
Bldg. 24, Room 145
P.O. Box 6477
Fort Worth, TX 76115
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Riverview Professional Bldg.
1325 77 Sunshine Strip, Suite 9
Harlingen, TX 78550
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FTS 734-4516/18

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Irving, TX 75061
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FTS 588-5080

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FTS 834-4725/4785

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FTS 925-2864/5

**Washington**
Area Director
121 107th St. N.E.
Bellevue, WA 98004
(26) 442-7520
FTS 399-7520

**West Virginia**
Area Director
Suite 1726, Charleston National Plaza
700 Virginia St.
Charleston, WV 25301.
(304) 343-6181, Ext. 420/429
FTS 924-1420

**Wisconsin**
Area Director
Clark Bldg., Room 400
633 West Wisconsin Ave.
Milwaukee, WI 53203
(414) 291-3315/6
FTS 291-3315/6

Area Director
2618 North Ballard Rd.
Appleton, WI 54911
(414) 734-4521
FTS 362-6218

**Wyoming**
Area Director
Office Bldg. 'Y'
10597 W. 6th Ave.
Lakewood, CO 80215
(303) 234-4471 (Use same 7-digit number for FTS)

## Mine Safety and Health Administration

### FIELD INSTALLATIONS

### COAL MINE SAFETY AND HEALTH

### DISTRICT OFFICES

**Colorado**
(District No. 9: Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Utah, Washington, Wyoming)
John W. Barton
P.O. Box 25367
Denver, CO 80225
(303) 234-2293

**Indiana**
(District No. 8: Ohio, Indiana, Illinois, Michigan, Wisconsin, Minnesota)
Maurice S. Childers
501 Busseron St.
Vincennes, IN 47591
(812) 882-7616

**Kentucky**
(District No.6: counties of Kentucky east of and including Mason, Robertson, Fleming, Rowan, Menifee, Morgan, Magoffin, Floyd, Pike, Letcher)
L. D. Phillips
219 High St., P.O. Box 262
Pikeville, KY 41501
(606) 437-9616

(District No. 7: North Carolina, South Carolina, Georgia, Florida, Alabama, Mississippi, Tennessee, Puerto Rico, Virgin Islands, Panama Canal Zone, and countries of Kentucky east of and including Boone, Grant, Scott, Woodford, Jessamine, Garrard, Lincoln, Pulaski, and Wayne up to District 6 boundary)
Jerry L. Spicer
P.O. Box 572, Municipal bldg.
Barbourville, KY 40906
(606) 546-5161

(District No. 10: counties of Kentucky West of and including Gallation, Owen, Franklin, Anderson, Mercer, Boyle, Casey, Russell and/ Clinton Arkansas, Iowa, Kansas, Louisiana, Missouri, Oklahoma, Texas)
Maurice S. Childers, Acting
P.O. Box 473
Madisonville, KY 42431
(502) 821-4180

**Pennsylvania**
(District No. 1: Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Delaware, and counties of Pennsylvania east of and including Susquehana, Sullivan, Columbia, Montour, Northcumberland, Dauphin, York)
John B. Shutack
20 N. Pennsylvania Ave.
Wilkes-Barre, PA 18701
(717) 826-6321

(District No. 2: counties of Pennsylvania west of and including Bradford, Lycoming, Union, Snyder, Juanita, Perry, Cumberland, Adams)
Donald W. Huntley
4800 Forbes Ave.
Pittsburgh, PA 15213
(412) 621-4500

**Virginia**
(District No. 5: Virginia)
Ray G. Ross
P.O. Box 560
Norton, VA 24273
(703) 679-0230

**West Virginia**
(District No. 3: Maryland, and counties of West Virginia north of and including Jackson, Roane, Calhoun, Braxton, Randolph, Pendleton)
Ronald L. Keaton
5012 Mountaineer Mall
Morgantown, WV 26505
(304) 599-7277

(District No. 4: counties of West Virginia south of and including Mason, Putnam, Kanawha, Clay, Nicholas, Webster, Greenbrier, Pocahontas)
James M. Krese
P.O. Box 112
Mt. Hope, WV 25880
(304) 877-6405

### METAL AND NONMETAL MINE SAFETY AND HEALTH

### DISTRICT OFFICES

**Alabama**
(Southeastern: Kentucky, Tennessee, North Carolina, South Carolina, Georgia, Florida, Alabama, Mississippi, Puerto Rico, Virgin Islands, Canal Zone)
Horst S. Gottschalk
228 W. Valley Ave., Room 102
Birmingham, AL 35209
(205) 254-1510

**California**
(Western: Alaska, Washington, Oregon, Idaho, Hawaii, California, Nevada, Arizona
Thomas C. Lukins
620 Central Ave., Bldg. 7
Alameda, CA 94501
(415) 273-7457

**Colorado**
(Rocky Mountain: Montana, Wyoming, Utah, Colorado, North Dakota, South Dakota)
William C. Gardner
P.O. Box 25367
Denver, CO 80225
(303) 234-3421

**Minnesota**
(North Central: Minnesota, Wisconsin, Michigan, Illinois Indiana, Iowa, Ohio)
Richard A. Vik
228 Federal Bldg.
Duluth, MN 55802
(218) 727-6692

**Pennsylvania**
(Northeastern: Maine. New Hampshire, Vermont, Massachusetts, Connecticut, Rhode Island, New York, Virginia, Maryland, Delaware. District of Columbia West Virginia, New Jersey, Pennsylvania)
Michael P. Trainor
4800 Forbes Ave.
Pittsburgh, PA 15213
(412) 621-4500

**Texas**
(South Central: Kansas, Oklahoma, Texas, Missouri, Arkansas, Louisiana, Nebraska, New Mexico, Iowa)
Wayne D. Kanack
1100 Commerce St., Room 4C50
Dallas, TX 75242
(214) 767-8401

## TECHNICAL SUPPORT

### FIELD CENTERS

**Colorado**
A. Z. Dimitroff
Denver Technology Center
P.O. Box 25367
Denver, CO 80225
(303) 234-2276

Donald K. Walker
Health and Safety Analysis Center
P.O. Box 25367
Denver, CO 80225
(303) 234-4271

**Pennsylvania**
John McCormick
Safety Technology Center (Bruceton)
4800 Forbes Avenue
Pittsburgh, PA 15213
(412) 675-6902

Robert Peluso
Health Technology Center
4800 Forbes Ave.,
Pittsburgh, PA 15213
(412) 621-4500

**West Virginia**
R. W. Dazell
Approval and Certification Center
Rt. 1, Box 20113
Triadelphia, WV 26059
(304) 547-0400

## NATIONAL MINE HEALTH AND SAFETY ACADEMY

Gilbert O. Lockwood, Acting
P.O. Box 1166
Beckley WV 25801
(304) 255-0451

# Office of the Secretary

## WOMEN'S BUREAU

### REGIONAL OFFICES

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Vivian L. Buckles, Regional Administrator
Room 1001-B, JFK Building
Boston, MA 02203
(617) 223-4036

**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands)
Mary E. Tobin, Regional Administrator
1515 Broadway, Room 3575
New York, NY 10036
(212) 944-3445
FTS 265-3445

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Vacant
Gateway Building
Room 14490
3535 Market Street
Philadelphia, PA 19104
(215) 596-1183 (Use same 7-digit number for FTS)

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Dolores Crockett, Regional Administrator
1371 Peachtree St. N.E., Room 323
Atlanta, GA 30367
(404) 881-4461
FTS 257-4461

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Sandra Frank, Regional Administrator
230 South Dearborn St., 10th Floor
Chicago, IL 60604
(312) 353-6985 (Use same 7-digit number for FTS)

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Rhobia C. Taylor, Regional Administrator
555 Griffin Square Building
Room 863
Griffin and Young Streets
Dallas, TX 75202
(214) 767-6985
FTS 729-6985

**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
Gwynn H. Gilliam, Regional Administrator
2511 Federal Building
911 Walnut Street
Kansas City, MS 64106
(816) 374-6108
FTS 758-6108

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
Lynn Brown, Regional Administrator
1961 Stout Street
Room 1456
Denver, CO 80202
(303) 837-4138
FTS 327-4138

**Region IX**
(Arizona, California, Hawaii, Nevada)
Madeline Mixer, Regional Administrator
Gay P. Cobb, Regional Administrator
Room 11411, Federal Building
450 Golden Gate Avenue
San Francisco, CA 94102
(415) 556-2377 (Use same 7-digit number for FTS)

**Region X**
(Alaska, Idaho, Oregon, Washington)
Lazelle S. Johnson, Regional Administrator
Room 1029, Federal Office Building
909 First Avenue
Seattle, WA 98174
(206) 442-1534
FTS 399-1534

## Federal Aviation Administration

### REGIONAL OFFICES

**Alaska**
(Alaskan Region)
Anchorage Federal Office Bldg.
701 C Street, Box 14
Anchorage, AK 99513
(907) 271-5111
FTS Seattle 8-907 then 271-5111

**20.100 Aviation Education**
Cliff Cernick
(907) 271-5296
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**California**
(Western Pacific Region)
Russell S. Hathaway
15000 Aviation Blvd.
Hawthorne, CA 90261
(213) 536-6244
FTS 966-6244

**Georgia**
(Southern Region)
Wm. J. McGill
3400 Norman Berry Drive
East Point, GA 30344
(404) 763-7288
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**Illinois**
(Great Lakes Region)
Frederick M. Issac
2300 Devon Ave.
Des Plaines, IL 60018
(312) 694-4500, Ext. 271
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**Massachusetts**
(New England Region)
M.O. Ciccarelli
12 New England Executive Park
Burlington, MA 01803
(617) 273-7319
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**Missouri**
(Central Region)
William Jack Sasser
601 East 12th St.
Kansas City, MO 64106
(816) 374-5626

**New York**
(Eastern Region)
Federal Bldg, JFK International Airport
Jamaica, NY 11430
(212) 995-3333

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George Briskey
(212) 995-2874
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**Texas**
(Southwest Region)
Bob A. Smith
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Forth Worth, TX 76101
(817) 624-4911
FTS 736-9495

**Washington**
(Northwest Mountain Region)
Robert O. Brown
FAA Bldg., Boeing Field
Seattle, WA
(206) 767-2740
FTS 396-2740

## Federal Highway Administration

### REGIONAL OFFICES

**California**
(Region IX)
Two Embarcadero Center
Suite 530
San Francisco CA 94111
(415) 556-3850
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**Colorado**
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555 Zang Street
Denver, CO 80225
(303) 234-4051 (Use same 7-digit number for FTS)

**Georgia**
(Region 4)
Suite 200, 1720 Peachtree Rd. N.W.
Atlanta, GA 30367
(404) 881-4078
FTS 257-4078

**Illinois**
(Region 5)
18209 Dixie Highway
Homewood, IL 60430
(312) 799-6300
FTS 370-9102

**Maryland**
(Region 3)
George H. Fallon
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Baltimore, MD 21201
(301) 962-2361
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**Missouri**
(Region 7)
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(816) 926-7563
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**New York**
(Region I)
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Albany, NY 12207
(518) 472-6476
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**Oregon**
(Region X)
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Portland, OR 97204
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Denver, CO 80225
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**Connecticut**
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**Delaware**
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**District of Columbia**
Kenneth L. Bellamy
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Augusta, ME 04330
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FTS 833-6486

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Emil Elinsky
The Rotunda, Suite 220
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**Massachusetts**
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**Michigan**
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315 West Allegan St.
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William R. Lake
Metro Square Bldg., Suite 490
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St. Paul, MN 55101
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**Mississippi**
Jack F. Sullivan, Jr.
666 North St., Suite 105
Jackson, MS 39202
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FTS 490-4215

**Missouri**
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Jefferson City, MO 65102
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Helena, MT 59626-0056
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Lincoln, NE 68508
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Concord, NH 03301
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**New Jersey**
John J. Kessler, Jr.
Suburban Square Bldg., 2nd Floor
25 Scotch Rd.
Trenton, NJ 08628
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**New Mexico**
Anthony L. Alonzo
117 U.S. Court House
Santa Fe, NM 87501
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**New York**
Victor E. Taylor
Leo W. O'Brien Federal Bldg.
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Albany, NY 12207
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FTS 783-4204

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**Oklahoma**
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Federal Office Bldg., Room 454
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FTS 736-4624

**Oregon**
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The Equitable Center, Suite 100
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Salem, OR 97301
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**Pennsylvania**
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Harrisburg, PA 17108
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**Puerto Rico**
Juan O. Cruz
Office No. 150
U.S. Courthouse and Federal Bldg.
Carlos Chardon St.
Hato Rey, PR 00918
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**Rhode Island**
Gordon G. Hoxie
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**South Carolina**
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FTS 782-5241

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Federal Bldg.
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801 Broadway, Room A926
Nashville, TN 37203
(615) 251-5394
FTS 852-5394

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300 East 8th St.
Austin, TX 78701
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Salt Lake City, UT 84147
(801) 524-5141
FTS 588-5141

**Vermont**
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711 S. Capitol Way
Olympia, WA 98501
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FTS 434-9413

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Charleston, WV 25301
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Madison, WI 53705
(608) 264-5395
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Fredrick L. Cooney
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### DIRECT FEDERAL DIVISION OFFICES

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555 Zang Street
P.O. Box 25246
Denver, CO 80225
(303) 234-4795 (Use same 7-digit number for FTS)
Western
J.N. Hall
610 East Fifth Street
Vancouver, WA 98661
(206) 696-7710
FTS 422-7710

## Federal Railroad Administration

**Gregory P. McIntosh, Acting Director**
Transportation Test Center
Pueblo, CO 81001
(303) 545-5660
FTS 326-9500

**The Alaska Railroad**
Frank R. Jones, General Manager
P.O. Box 7-2111
Anchorage, AK 99510
(907) 265-2411

### REGIONAL OFFICES

**Region I (Northeastern)**
(Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont)
Harold Levine, Regional Director for Federal Assistance
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Philadelphia, PA 19106
(215) 597-3617 (Use same 7-digit number for FTS)

Edward F. Hasser
Regional Director of Railroad Safety
Room 1307
150 Causeway Street
Boston, MA 02114
(617) 223-2775 (Use same 7-digit number for FTS)

**Region II (Eastern)**
(Delaware, District of Columbia, Pennsylvania,Maryland, Virginia, West Virginia)
Regional Director of Federal Assistance
Harold E. Levine
434 Walnut Street
Philadelphia, PA 19106
(215) 597-3617 (Use same 7-digit number for FTS)

Regional Director of Railroad Safety
Wallace F. Holl
434 Walnut Street
Philadelphia, PA 19106
(215) 597-0750 (Use same 7-digit number for FTS)

**Region III (Southern)**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Mac Rogers, Regional Director of Federal Assistance
Suite 440A, North Tower
1720 Peachtree Road, NW
Atlanta, GA 30309
(404) 881-2718
FTS 257-2717

Regional Director of Railroad Safety
Charles R. Meyrick
Suite 440A, North Tower
1720 Peachtree Road, Northwest
Atlanta, GA 30309
(404) 881-2751
FTS 257-2751

**Region IV (Central)**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Walter Rocky Jr., Regional Director of Federal Assistance
Room 5406, 400 7th Street, S.W.
Washington, DC 20590
(202) 755-2008 (Use same 7-digit number for FTS)

Regional Director of Railroad Safety
J. Sharpe
Room 210, 536 S. Clark Street
Chicago, IL 60605
(312) 353-6203
FTS 353-6203

**Region V (Southwestern)**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Jeremy Coleman, Regional Director of Federal Assistance
Federal Office Bldg., Room 11A23
819 Taylor St.
Fort Worth, TX 76102
(817) 334-3817 (Use same 7-digit number for FTS)

Regional Director of Railroad Safety
Robert Johnson
Room 11A23, Federal Office Bldg.
819 Taylor Street
Fort Worth, TX 76102
(817) 334-3601 (Use same 7-digit number for FTS)

**Region VI (Midwestern)**
Iowa, Kansas, Missouri, Nebraska)
Jeremy Coleman, Regional Director of Federal Assistance
Room 11A23, Federal Office Building
819 Taylor Street
Fort Worth, TX 76102
(817) 334-3817 (Use same 7-digit number for FTS)

Regional Director of Railroad Safety
Herrell R. Bird
Room 1807, Federal Office Building
911 Walnut Street
Kansas City, MO 64106
(816) 374-2497
FTS 758-2497

**Region VII (Western)**
(Arizona, California, Colorado, Nevada, Utah)
Lawrence Regan, Regional Director of Federal Asssistance
2 Embarcadero Center, Suite 630
San Francisco, CA 94111
(415) 556-2924 (Use same 7-digit number for FTS)

Regional Director of Railroad Safety
Earl H. Anderson
2Embarcadero Center, Suite 630
San Francisco, CA 94111
(415) 556-6411 (Use same 7-digit number for FTS)

**Region VIII Northwestern)**
(Idaho, Montana, North Dakota, Oregon, South Dakota, Washington, Wyoming)
Regional Director of Federal Assistance
Lawrence G. Regan (Acting)
Suite 630, 2 Embarcadero Center
San Francisco, CA 94111
(415)556-2924(Use same 7-digit number for FTS)

Regional Director of Railroad Safety
R. Mowatt-Larssen
302 Mead Bldg.
421 Southwest Fifth Avenue
Portland, OR 97204
(503) 221-3011
FTS 423-3011

## Maritime Administration

### REGIONAL OFFICES

**California**
Western Region: Alaska, Arizona, California, Colorado,Hawaii, Idaho, Montana, Nevade, New Mexico North Dakota, Oregon, South Dakota, Utah,Washington Wyoming)
Thomas J. Patterson
Maritime Administration
450 Golden Gate Ave., Box 36073
San Francisco, CA 94102
(415) 556-3816 (Use same 7-digit number for FTS)

**Ohio**
(Great Lakes Region: Illinois, Indiana, Michigan, Minnesota, New York (lake coastal area), Ohio, Pennsylvania (lake coastal area), Wisconsin)
George J. Ryan
Maritime Administration
666 Euclid Ave.
Room 576
Cleveland, OH 44114
(216) 522-3623
FTS 293-7617

**Louisiana**
(Central Region: Alabama, Arkansas, FLorida (western half), Iowa, Kansas, Kentucky, Louisiana, Missouri, Mississippi, Nebraska, Oklahoma, Tennessee, Texas)
F.X. McNerney
Maritime Administration
International Trade Mart
2 Canal St.
New Orleans, LA 70130
(504) 589-6556
FTS 682-6556

**New York**
Eastern Region: Connecticut, Delaware, Florida (eastern half), Georgia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York (except lake coastal area), North Carolina, Pennsylvania (except lake coastal area), Puerto Rico, Rhode Island, South Carolina, Vermont, Virginia, West Virginia)
Julius Kurens
Maritime Administration
26 Federal Plaza
New York, NY 10007
(212) 264-1300 (Use same 7-digit number for FTS)

### FIELD OFFICES

**New York**
Thomas A. King
United States Merchant Marine Academy
Kings Point, NY 11024
(516) 482-8200
FTS 663-8200

## Minority Business Development Agency

### REGIONAL OFFICES

**California**
(Federal Regions IX and X: Alaska, American Samoa, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon and Washington)
Ramon Ramero, Director
Federal Bldg., Room 15043
450 Golden Ave.
San Francisco, CA 94102
(415) 556-7234 (Use same 7-digit number for FTS)

**District of Columbia**
(Federal Region III: III: Delaware, District of Columbia Maryland, Pennsylvania, Virginia,and West Virginia)
Luis Encinias, Director
1730 K St., N.W., Suite 420
Washington, DC 20036
(202 634-7897 (Use same 7-digit number for FTS)

**Georgia**
(Federal Region IV: Alabama, Alabama, Florida, Georgia,Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee)
Charles F. McMilan, Director
1371 Peachtree St., N.E., Suite 505
Atlanta, GA 30309
(404) 881-4091
FTS 257-4091

**Illinois**
(Federal Regions V and VII: Illinois Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio and Wisconsin)
Stanley Tate
55 East Monroe St., Suite 1440
Chicago, IL 6603
(312) 353-0186 (Use same 7-digit number for FTS)

**New York**
(Federal Regions I and II: Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont, and the Virgin Islands)
Carlton Eccles
26 Federal Plaza, Room 36-116
New York, NY 10007
(212) 264-3262 (Use same 7-digit number for FTS)

**Texas**
(Federal Regions VI and VIII: Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas Utah and Wyoming)
Richard Sewing
1100 Commerce St., Room 7B19
Dallas, TX 75242
(214) 767-8001
FTS 729-8001 DISTRICT OFFICES

**Alabama**
908 South 20th Street
Suite 215
Birmingham, AL 35205
(205) 254-698 (Use same 7-digit number for FTS)

**Arizona**
Valley Bank center, Suite 2940
Phoeniz, AZ 85073
(602) 261-3503 (Use same 7-digit number for FTS)

**Arkansas**
600 W. Capitol Avenue
U.S. Post Office and Court House Bldg.
Room 234
Little Rock, Arkansas 72201
(501) 378-6169 (Use same 7-digit number for FTS)

**California**
Federal Bldg.
2500 Wilshire Blvd., Room 908
Los Angeles, CA 90057
(213) 688-72157
FTS 798-7157

**Colorado**
909 17th Street
Title Bldg., Room 509

Denver, CO 80202
(303) 837-2767 (Use same 7-digit number for FTS)

**District of Columbia**
U.S. Department of Commerce
Room 5628
14th & Constitution Ave., N.W.
Washington, DC 20230
(202) 377-5098 (Use same 7-digit number for FTS)

**Florida**
Federal Building, Room 928
51 SW First Avenue
Miami, FL 33130
(305) 350-5054 (Use same 7-digit number for FTS)

**Georgia**
1371 Peachtree Street, N.E.
Suite 505
Atlanta, GA 30309
(404) 881-7609 (Use same 7-digit number for FTS)

**Hawaii**
U.S. Department of Commerce
Room 4315-A
300 Ala. Moana Blvd.
Honolulu, HI 96850
(808) 546-3769 (Use same 7-digit number for FTS)

**Illinois**
536 South Clark Street
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Chicago, IL 6605
(312) 353-2410 (Use same 7-digit number for FTS)

**Maryland**
Fallon Federal Bldg.
31 Hopkins Plaza
Baltimore, MD 21201
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**Massachusetts**
441 Stuart St., 10th Floor
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(617) 223-3726 (Use same 7-digit number for FTS)

**Michigan**
535 Federal Courthouse Building
Detroit, MI 48226
(313) 226-4835 (Use same 7-digit number for FTS)

**Minnesota**
110 South 4th Street
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Minneapolis, MN 55401
(612) 725-2055 (Use same 7-digit number for FTS)

**Missouri**
911 Walnut St.
Kansas City, MO 64109
(816) 374-3381 (Use same 7-digit number for FTS)

1114 Market Street
Room 633
St. Louis, MO 63101
(314) 425-6426 (Use same 7-digit number for FTS)

**New Mexico**
National Bldg.
505 Marquette Ave., Suite 1001
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FTS 474-3379

**New York**
Jackson Bldg.
220 Delaware Ave.
Buffalo, NY 14202
(716) 223-5375
FTS 437-4387 or 4388

SBA Regional Office
26 Federal Plaza, 29th Floor
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Cleveland, OH 44199
(216) 552-5404 (Use same 7-digit number for FTS)

**Pennsylvania**
William H. Green
Federal Office Bldg.
600 Arch St., Room 9436
Philadelphia, PA 1916
(215) 597-9236 (Use same y-digit number for FTS)

614 Federal Building
1000 Liberty Avenue
Pittsburgh, PA 15222
(412) 644-5882 (Use same 7-digit number for FTS)

**Texas**
1100 Commerce Street
Room 7D26
Dallas, TX 75242
(214) 767-0793 (Use same 7-digit number for FTS)

2515 Murworth Drive
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(713) 226-5732 (Use same 7-digit number for FTS)

**Virginia**
Richmond FOB
400 N. Eighth St.
Richmond, VA 23219
(804) 782-2229 (Use same 7-digit number for FTS)

**Washington**
326 Federal Building
915 Second Avenue
Seattle, WA 98174
(26) 442-2437 (Use same 7-digit number for FTS)

### National Oceanic and Atmospheric Admisinstration

### FIELD AREAS

**Virginia**
Atlantic Marine Center
439 West York, St.
Norfolk, VA 23510
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FTS 827-6776

**Washington**
Pacific Marine Center
1801 Fairview Ave. East
Seattle, WA 98102
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### Regional Action Planning Commissions FIELD OFFICES

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Four Corners Regional Commission
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**Southwest Border Regional Commission**
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Executive Director
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FTS 762-6781

**Arkansas**
Ozarks Regional Commission
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Little Rock, AR 72207
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**Idaho**
Pacific Northwest Regional Commission
Merle Parsley, Special Assistant
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FTS 554-1335

**Massachusetts**
New England Regional Commission
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Federal Cochairman
141 Milk Street
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## National Highway Traffic Safety Administration

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
John J. Connors
Transportation System Center
Kendall Square
Cambridge, MA 02142
(617) 494-2680
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**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands)
Edward Monahan
222 Mamaroneck Ave., Suite 204
White Plains, NY 10605
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FTS 656-9311

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
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Linthicum, MD 21090
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**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
James A. Turner
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Atlanta, GA 30309
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FTS 257-4537

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Donald J. McNamara
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1010 Dixie Hwy.
Chicago Heights, IL 60411
(312) 756-1950
FTS 370-9326

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Wayne S. Frazier
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Fort Worth, TX 76102
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**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
James Green
P.O. Box 19515, Country Club Station
Kansas City, MO 64141
(816) 926-7885 (Use same 7-digit number for FTS)

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
William Lloyd
555 Zang St.
Denver, CO 80228
(303) 234-3253 (Use same 7-digit number for FTS)

**Region IX**
(Arizona, California, Hawaii, Nevada, American Samoa, Guam)
Orville J. Hart
Two Embarcadero Center, Suite 610
San Francisco, CA 94111
(415) 556-6415 (Use same 7-digit number for FTS)

**Region X**
(Alaska, Idaho, Oregon, Washington)
R. Perry Chandler
3140 Federal Building
915 Second Avenue
Seattle, WA 98174
(26) 442-5935
FTS 399-5935

## Research and Special Programs Administration

### REGIONAL OFFICES

**Eastern Region**
(Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Puerto Rico)
Lance Heverly
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400 Seventh St., S.W.
Washington, DC 20590
(202) 755-9435 (Use same 7-digit number for FTS)

**Southern Region**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
James Thomas
1568 Willingham Dr., Suite 200-B
Atlanta, GA 30337
(404) 763-7861
FTS 246-7861

**Central Region**
(Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin)
Edward Ondak
Room 1802
911 Walnut St.
Kansas City, MO 64106
(816) 374-2654
FTS 758-2654

**Southwest Region**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Robert Aubry
6622 Hornwood Dr.
Houston, TX 77074
(713) 226-5476
FTS 527-5476

**Western Region**
(Arizona, California, Colorado, Idaho, Montana, Nevada, North Dakota, Oregon, South Dakota, Utah, Washington, Wyoming, Alaska, Hawaii)
Jack Overly
831 Mitten Rd.
Burlingame, CA 94010
(415) 876-9085
FTS 470-9085

## Urban Mass Transportation Administration

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Richard Doyle, Regional Administrator
c/o Transportation Systems Center Kendall Square
Room 277, 55 Broadway
Cambridge, MA 02142
(617) 494-2055
FTS 837-2055

**Region II**
(New Jersey, New York, Puerto Rico)
Alfred Delliboui, Regional Administrator
Suite 14-110
26 Federal Plaza
New York, NY 10278
(212) 264-8162 (Use same 7-digit number for FTS)

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Peter Stowell, Regional Administrator
10th Flr., 434 Walnut St., Suite 1010
Philadelphia, PA 19106
(215) 597-8098 (Use same 7-digit number for FTS)

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Carl Richardson, Regional Administrator
1720 Peachtree Rd., N.W. Suite 400
Atlanta, GA 30309
(404) 881-3948
FTS 257-3948

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Joel Ettinger, Regional Administrator
300 South Wacker Dr., Suite 1720
Chicago, IL 60606
(312) 353-2789 (Use same 7-digit number for FTS)

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Suite 9A32
819 Taylor St.
Glen Ford, Regional Administrator
Fort Worth, TX 76102
(817) 334-3787 (Use same 7-digit number for FTS)

**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
Lee Waddleton, Regional Administrator
Suite 100, 6301 Rock Hill Rd.,
Kansas City, MO 64131
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**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
Lou Mraz, Regional Administrator
Suite 1822, Prudential Plaza,
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Denver, CO 80265
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FTS 327-3242

**Region IX**
(Arizona, California, Hawaii, Nevada)
Dee Jacobs, Regional Administrator
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Two Embarcadero Center
San Francisco, CA 94111
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**Region X**
(Alaska, Idaho, Oregon, Washington)
Aubrey Davis, Regional Administrator
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915 Second Ave.
Seattle, WA 98174
(26) 442-4210
FTS 399-4210

## U.S. Coast Guard

### DISTRICT OFFICES

**1st Coast Guard District: Boston**
(Maine, Massachusetts, New Hampshire, Rhode Island, Eastern Vermont)
Commander, 1st CG District (dpl)
150 Causeway Street
Boston, MA 02114
(617) 223-7563
Attn: Commander Stephen Richmond

**2nd Coast Guard District: St. Louis**
(North Dakota, South Dakota, Western Wisconsin, Wyoming, Nebraska, Iowa, Illinois (except northeastern), Southern Indiana, Southern Ohio, Southwestern Pennsylvania, West Virginia, Kentucky, Missouri, Kansas, Colorado, Oklahoma, Arkansas, Tennessee, Southern Minnesota, Northern Alabama, Northern Mississippi)
Commander, 2nd CG District (dpl)
Federal Bldg. 1430 Olive St.
St. Louis, MO 63103
(314) 279-5011
Attn: Lieutenant Commander Jim Robinson

**3rd Coast Guard District: New York**
(Connecticut, Delaware, New Jersey, southern and eastern New York, eastern Pennsylvania, western Vermont)
Commander, 3rd CG District (dpl)
Governors Island
New York, NY 10004
(212) 664-6341
Attn: Commander James Mullen

**5th Coast Guard District: Portsmouth**
(District of Columbia, Maryland, Virginia, North Carolina)
Commander, 5th CG District (dpl)
Federal Bldg., 431 Crawford St.
Portsmouuth, VA 23705
(703) 827-9277
Attn: Capt. Jim Hass

**7th Coast Guard District: Miami**
(Eastern Florida, eastern Georgia, South Carolina, Panama Canal Zone, Puerto Rico, Virgin Islands)
Commander, 7th CG District (dpl)
51 S.W. 1st Ave.
Miami, FL 33130
(305) 350-5502
Attn: Commander Gerald Underwood

**8th Coast Guard District: New Orleans**
(New Mexico, Texas, Louisiana, southern Alabama, Southern Mississipi, Western Florida, western Georgia)
Commander, 8th CG District (dpl)
Hale Boggs Federal Bldg.
500 Camp St.
New Orleans, LA 70130
(504) 682-2961
Attn: Commander Albert Baker

**9th Coast Guard District: Cleveland**
(Michigan, northwestern New York, northwestern Pennsylvania, northern Ohio, northern Indiana, northeastern Illinois, eastern Wisconsin)
Commander, 9th CG District (dpl)
1240 East 9th St.
Cleveland, OH 44199
(216) 293-4435
Attn: Commander Randy Peterson

**11th Coast Guard District: Long Beach**
(Southern California, southern Nevada, southern Utah, Arizona)
Commander, 11th CG District (dpl)
Union Bank Bldg.
400 Oceangate
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Attn: Commander George Mason

**12th Coast Guard District: San Francisco**
(Northern California, northern Nevada, northern Utah)
Commander, 12th CG District (dpl)
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Attn: Commander George Bachtell

**13th Coast Guard District: Seattle**
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Commander, 13th CG District (dpl)
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**14th Coast Guard District: Honolulu**
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Commander, 14th CG District (dpl)
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Honolulu 546-2861
Attn: Commander John Schartz

**17th Coast Guard District: Juneau**
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Boston, MA 02203

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**Region II**
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**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
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Philadelphia, PA 19106

For Construction Grants, Section 205, 208 Grants:
Fred Grant, Chief
Management and Support Staff, 3WA40
(215) 597-3420 (Use same 7-digit number for FTS)

For all others:
Frank Snock, Grants Section
Financial Management Branch, 3MA30
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**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennesee)
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Atlanta, GA 30308

For Construction and Section 205 and 208 Grants and Clean Lakes:
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All others:
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**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
230 S. Dearborn, 12th Floor
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# FEDERAL COMMUNICATIONS COMMISSION

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Monitoring Branch
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Washington, DC 20554
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### FIELD OPERATIONS BUREAU

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## FEDERAL EMERGENCY MANAGEMENT AGENCY

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**Region II (New York)**
Frank Petrone
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FEMA Region II
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John W. Brucker
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Major (Phil) May
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FEMA Region IV
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**Region V (Chicago)**
John T. Anderson
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FEMA Region V
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**Region VI (Dallas)**
Joe D. Winkle
Regional Director
FEMA Region VI
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Denton, TX 76201
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**Region VII (Kansas City)**
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FEMA Region VII
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**Region VIII (Denver)**
Alton D. Cook
Acting Regional Director
FEMA Region VIII
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Denver, CO 80225
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FTS 234-2553

**Region IX (San Francisco)**
Mr. Robert L. Vickers
Regional Director
FEMA Region IX
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**Region X (Seattle)**
William Mayer
Regional Director
FEMA Region X
Federal Regional Center
Bothell, WA 98011
(206) 481-8800
FTS 396-0284

## FEDERAL MEDIATION AND CONCILIATION SERVICE

### REGIONAL OFFICES

**Southern Region**
Virginia, Maryland (except counties listed under the Eastern Region); Tennessee; North Carolina; South Carolina; Georgia; Alabama; Florida; Mississippi; Louisiana; Arkansas; Kentucky; Texas (except for Hudspeth and El Paso counties); Oklahoma; Missouri (except for those counties listed for the Western Region); Illinois (the counties of Calhoun, Green, Jersey, McCoupin, Montgomery, Fayette, Bond, Madison, St. Clair, Monroe, Clinton, Washington, Marion, Jefferson, Perry, Randolph, Jackson, Franklyn, Williamson, Union, Johnson, Alexander, Pulaski, Massac, Pope, Hardin, Gallatin, Marion, White Hamilton, Wayne, Edwards, Wabash, Lawrence, Richland, Clay, Effingham, Jasper, and Crawford); Indiana (the counties of Knox, Daviess, Martin, Organe, Washington, Clark, Floyd, Harrison, Crawford, Perry, Spencer, DuBois, Pike, Gibson, Posey, Vanderburgh, and Warrick); Ohio (the counties of Butler, Hamilton, Warren, Clermont, Brown, Highland, Clinton, Ross, Pike, Adams, Scioto, Lawrence, Ballia, Jackson, Vinton, Hocking, Athens, and Migs); Kansas, (the counties of Bourbon, Crawford, Cherokee, and Ottawa); West Virginia (except counties listed under the central region); and the Canal Zone
Mr. Tally R. Livingston, Regional Director
1422 Peachtree St., N.W., Suite 400
Atlanta, GA 30309
(404) 881-2473
FTS 257-2473

**Western Region**
California; Nevada; Arizona; New Mexico;

El Paso and Hudspeth Counties (only) in Texas; Hawaii; Guam; Alaska; Washington; Oregon; Colorado; Utah; Wyoming, Montana; Idaho; Nebraska; Kansas; Iowa; Missouri (the counties of Atchinson, Nodaway, Worth, Harrison, Mercer, Putnam, Schuyler, Scotland, Know, Adair, Sullivan, Grundy, Daviess, Gentry, DeKalb, Andrew, Holt, Buchanan, Clinton, Caldwell, Livingston, Linn, Macon, Shelby, Randolph, Chariton, Carrol Ray, Clay, Plattee, Jackson, Lafayette, Saline, Howard, Boon, Cooper, Pettis, Johnson, Cass, Bates Henry, St. Clair, Benton, and Morgan); American Samoa; and Wake Island
Mr. Richard C. Williams, Regional Director
Francisco Bay Building, Suite 235
50 Francisco Street
San Francisco, CA 94133
(415) 556-4670

**Central Region**
Illinois (except counties listed under the Southern Region); Indiana (except counties listed under the Southern Region); Wisconsin; Minnesota; North Dakota; South Dakota; Michigan; and Ohio (except counties listed under the Southern Region)
Mr. Bernard O;Keefe, Regional Director
Insurance Exchange Bldg., Room 1641
175 W. Jackson Street
Chicago, IL 60604
(312) 353-7350(Use same 7-digit number for FTS)

**Eastern Region**
Consists of: Maine; New Hampshire; Vermont; Connecticut; Rhode Island; Massachusetts; New York; Pureto Rico; the Virgin Islands; Pennsylvania; Delaware; New Jersey; Garrett and Alleghany counties of Maryland; and Brooke and Hancock counties of West Virginia
Mr. Paul Yager, Regional Director
Jacob K Jauits Federal Bldg.
26 Federal Plaza, Rm. 2937
New York, NY 10278
(212) 264-1000 (Use same 7-digit number for FTS)

# GENERAL SERVICES ADMINISTRATION

## REGIONAL OFFICES

**National Capitol Region**
(District of Columbia, Counties of Maryland and Virginia, included in the National Capital Region; Prince Georges, Montgomery of Maryland, Arlington, Alexandria and Fairfax of Virginia
Seventh and D Sts., S.W.
Washington, DC 20407

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont)
John W. McCormack Post Office and Courthouse
Boston, MA 02109

Director, Real Property Division
Federal Property Resources Service
(617) 223-2651 (Use same 7-digit number for FTS)

**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands)
26 Federal Plaza
New York, NY 10007

Director, Real Property Division
Federal Property Resources Service
(212) 264-2640 (Use same 7-digit number for FTS)

Director, Real Propery Division
Federal Property Resources Service
(202) 472-1921 (Use same 7-digit number for FTS)

**Region III**
(Delaware, Maryland, Pennsylvania, Virginia, West Virginia - less counties of Maryland and Virginia included in the National Capital Region
Ninth and Market Streets
Philadelphia, PA 19107

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
75 Spring St., SW
Atlanta, GA 30303

Director, Real Property Division
Federal Property Resources Service
(404) 881-4631
FTS 257-4628

**Region V**
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Chicago, IL 60604

Director, Real Property Division
Federal Property Resources Service
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**Region VI**
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Director, Real Property Division
Federal Property Resources Service
(816) 926-7237 (Use same 7-digit number for FTS)

**Region VII**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
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Director, Real Property Division
Federal Property Resources Service
(817) 334-2516 (Use same 7-digit number for FTS)

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
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Denver, CO 80225

Director, Real Property Division
Federal Property Resources Service
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**Region IX**
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Federal Property Resources Service
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**Region X**
(Alaska, Idaho, Oregon, Washington)
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Auburn, WA 98002

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Federal Property Resources Service
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**Colorado**
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**District of Columbia**
Seventh and D Sts., S.W.
Washington, DC 20407
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Chief, Archives Branch
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San Bruno, CA 94066
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## NATIONAL ARCHIVES AND RECORDS SERVICE

### NATIONAL ARCHIVES

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**Iowa**
Director
Herbert Hoover Library
West Branch, IA 52358
(319) 643-5301
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Suite 100, Gelman Bldg.
2120 L St., N.W.
Washington, DC 20037
(202) 254-8902 (Use same 7-digit number for FTS)

Information Officer
Federal Bldg., Room 278
400 West Bay St.
Jacksonville, FL 32202
(904) 791-3768
FTS 946-3768

Information Officer
Federal Bldg., Room 916
51 Southwest 1st Ave.
Miami Fl 33130
305 350-5391 (Use same 7-digit number for FTS)

Information Officer
Room 706, Federal Office Bldg.
500 Zack St.
P.O. Box 3322
Tampa, FL 33602
(813) 228-2641
FTS 826-2641

**Georgia**
Information Officer
Marietta Tower, Suite 2400
101 Marietta St., N.W.
Atlanta, GA 30303
(404) 221-2896
FTS 242-2896

**Hawaii**
Information Officer
300 Ala Moana Blvd., Room 7318
P.O. Box 50208
Honolulu, HI 96850
(808) 546-5100 (Use same 10-digit number for FTS)

**Illinois**
Information Officer
Room 881, Everett McKinley Dirksen Bldg.
219 South Dearborn St.
Chicago, IL 60604
(312) 353-7570 (Use same 7-digit number for FTS)

Information Officer
Sixteenth Floor, Savings Center Tower
411 Hamilton Ave.
Peoria, IL 61602
(309) 671-7080
FTS 360-7080

**Indiana**
Information Officer
Room 232, Federal Office Bldg.
575 N. Pennsylvania St.
Indianapolis, IN 46204
(317) 269-7430
FTS 331-7430

**Iowa**
Information Officer
907 Walnut St., Room 380
Des Moines, IA 50309
(515) 284-4391
FTS 862-4391

**Kansas**
Information Officer
Room 616, Two Gateway Center
Fourth at State
Kansas City, KS 66101
(816) 374-4518
FTS 758-4518

**Louisiana**
Information officer
Suite 2700, Plaza Tower
1001 Howard Ave.
New Orleans, LA 70113
(504) 589-6361
FTS 682-6361

**Maryland**
Information Officer
Garmatz Federal Bldg., 9th Floor
101 West Lombard St.
Baltimore, MD 21201
(301) 962-2822
FTS 922-2822

**Massachusetts**
Information Officer
Twelfth Floor, Keystone Bldg.
99 High Street
Boston, MA 02110
(617) 223-3300 (Use same 7-digit number for FTS)

**Michigan**
Information Officer
Room 300, Patrick V. McNamara Federal Bldg.
477 Michigan Ave.
Detroit, MI 48226
(313) 226-3200 (Use same 7-digit number for FTS)

Information Officer
3rd Floor, The Furniture Co.
82 Ionia N.W.
Grand Rapids, MI 49503
(616) 456-2679
FTS 372-2679

**Minnesota**
Information Officer
Federal Bldg., Room 316
110 South 4th St.
Minneapolis, MN 55401
(612) 725-2611 (Use same 7-digit number for FTS)

**Missouri**
Information Officer
Room 448, 210 North 12th Blvd.
St. Louis, MO 63101
(314) 425-4167
FTS 279-4167

**Nevada**
Information Officer
Room 3402
300 Las Vegas Blvd., South
Las Vegas, NV 89101
(702) 385-6416
FTS 598-6416

**New Jersey**
Information Officer
Federal Bldg., Rm. 1600
970 Broad St.
Newark, NJ 07102
(201) 645-2100
FTS 341-2100

**New Mexico**
Information Officer
Upper Level, Patio Plaza Bldg.
5000 Marble Avenue Northeast
Albuquerque, NM 87110
(505) 766-2508
FTS 474-2508

**New York**
Information Officer
Federal Bldg., Rm. 342
Clinton Ave. at N. Pearl St.
Albany, NY 12207
(518) 472-2215
FTS 562-2215

Information Officer
Fourth Floor, 16 Court St.
Brooklyn, NY 11241
(212) 330-7713
FTS 656-7713

Information Officer
Federal Bldg., Room 901
111 West Huron St.
Buffalo, NY 14202
(716) 846-4931
FTS 437-4931

Information Officer
Federal Bldg., Rm. 3614
26 Federal Plaza
New York, NY 10278
(212) 264-0300 (Use same 7-digit number for FTS)

**North Carolina**
Information Officer
Room 447, Federal Bldg.
251 North Main Street
Winston-Salem, NC 27101
(919) 761-3201
FTS 670-3201

**Ohio**
Information Officer
Room 3003, Federal Bldg.
550 Main St.
Cincinnati, OH 45202
(513) 684-3686 (Use same 7-digit number for FTS)

Information Officer
Anthony J. Celebreeze Federal Bldg.
Suite 1695
1240 East 9th St.
Cleveland, OH 44199
(216) 522-3715
FTS 293-3715

**Oklahoma**
Information Officer
First Floor, South Tower
Skyline East Bldg.
6128 East 38th St.
Tulsa, OK 74135
(918) 664-1420
FTS 736-7952

**Oregon**
Information Officer
825 Pittock Block
921 Southwest Washington St.
Portland, OR 97205
(503) 221-3085
FTS 423-3085

**Pennsylvania**
Information Officer
615 Chestnut St., 7th Floor
One Independance Mall
Philadelphia, PA 19016
(215) 597-7601 (Use same 7-digit number for FTS)

Information Officer
Porter Bldg., 10th Floor
601 Grant St.
Pittsburgh, PA 15219
(412) 644-2977
FTS 722-2977

**Puerto Rico**
Information Officer
Room 591
U.S. Courthouse and Federal Office Bldg.
Carlos E. Chardon Avenue
Hato Rey, PR 00918
(809) 753-4347 (Use same 7-digit number for FTS)
FTS 472-6620 (FTS operator will complete call)

**Tennessee**
Information Officer
Mid-Memphis Tower Bldg., Suite 800
1407 Union Ave.
P.O. Box 41559
Memphis, TN 38104
(901) 521-2725
FTS 222-2725

Information Officer
Room A-702, Federal Office Bldg.
U.S. Courthouse
801 Broadway
Nashville, TN 37203
(615) 251-5921
FTS 852-5921

**Texas**
Information Officer
First National Building
109 N. Oregon Street
El Paso, TX 79901
(915) 543-7737
FTS 572-7737

Information Officer
Room 8-A-24, Federal Office Bldg.
819 Taylor St.
Fort Worth, TX 76102
(817) 334-2921 (Use same 7-digit number for FTS)

Information Officer
Suite 920, One Allen Center
500 Dallas Ave.
Houston, TX 77002
(713) 226-4296
FTS 527-4296

Information Officer
Room A-509, Federal Office Bldg.
727 East Durango Blvd.
San Antonio, TX 78206
(512) 229-6140
FTS 730-6140

**Washington**
Information Officer
Federal Bldg., Rm. 2948
915 Second Ave.
Seattle, WA 98174
(206) 442-4532
FTS 399-4532

**Wisconsin**
Information Officer
Commerce Bldg., Suite 230
744 North 4th St.
Milwaukee, WI 53203
(414) 291-3861
FTS 362-3861

## OFFICE OF PERSONNEL MANAGEMENT

### REGIONAL OFFICES

**Region I**
(New England Region: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Jeanne W. Kelly, Acting Director
J. W. McCormack Post Office and Courthouse
Boston, MA 02109
(617) 223-2538 (Use same 7-digit number for FTS)

**Region II**
(Eastern Region: New Jersey, New York, Puerto Rico, Virgin Islands)
John J. Lafferty
Jacos K Jauits Federal Bldg., 26 Federal Plaza
New York, NY 10278
(212) 264-0440 (Use same 7-digit number for FTS)

**Region III**
(Mid Atlantic Region: Delaware, Maryland, Pennsylvania, Virginia, West Virginia), Except Washington, D.C. Metropolitan Area
Robert E. Sperry
William J. Green Jr., Federal Bldg.
600 Arch St.
Philadelphia, PA 19106
(215) 597-4543

**Region IV**
(Southeast Region: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
David Caldwell
Richard B. Russell, Federal Bldg., Suite 904
75 Spring St. S.W.
Atlanta, GA 30303
(404) 221-3459
FTS 242-3459

**Region V**
(Great Lakes Region: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Steven R. Cohen, Acting Director
John Kluczynski Bldg.
230 S. Dearborn St.
Chicago, IL 60604
(312) 353-2901 (Use same 7-digit number for FTS)

**Region VI**
(Southwest Region: Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
Edward Vela, Jr.
1100 Commerce St.
Dallas, TX 75242
(214) 767-8227 (Use same 7-digit number for FTS 729-8227)

**Region VII**
(Mid-Continent Region: Iowa, Kansas, Missouri, Nebraska)
Gerald K. Hinch
1256 Federal Bldg., 1520 Market St.
St. Louis, MO 63103
(314) 425-4262
FTS 279-4262

**Region VIII**
(Rocky Mountain Region: Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
Robert J. Dunn
Building 20, Denver Federal Center
Denver, CO 80225
(303) 234-2023 (Use same 7-digit number for FTS)

**Region IX**
(Western Region: Arizona, California, Hawaii, Nevada, Pacific Ocean Area)
Francis V. Yanak
525 Market Street
450 23rd Floor
San Francisco, CA 94105
(415) 556-0581 (Use same 7-digit number for FTS)

**Region X**
(Northwest Region: Alaska, Idaho, Oregon, Washington)
Thomas G. McCarthy
Federal Bldg., 26th Flr.
915 Second Ave.
Seattle, WA 98174
(206) 442-7536
FTS 399-7536

### FEDERAL JOB INFORMATION CENTERS

**Region I**
Connecticut
Hartford
(203) 244-3096
Federal Bldg., Room 717
450 Main St. 06103

**Maine**
Augusta
(207) 622-6171, Ext. 269
Federal Bldg., Room 611
Sewall St. and Western Ave., 04330

**Massachusetts**
Boston
(617) 223-2571
3 Center Plaza 02108

**New Hampshire**
Portsmouth
(603) 436-7720, Ext. 762
Federal Bldg., Room 104
Daniel and Penhallow Sts. 03801

**Rhode Island**
Providence
(401) 528-4447
Federal and Post Office Bldg., Room 310
Kennedy Plaza 02903

**Vermont**
Burlington
Federal Bldg., Room 614
P.O. Box 489
Elmwood Ave. and Pearl St. 05402
(802) 951-6712

**Region II**
New Jersey
Newark
Peter W. Rodino, Jr.
Federal Bldg., 970 Broad St. 07102
(201) 645-3673
(In Camden dial (215) 597-7440)

**New York**
Bronx
590 Grand Concourse 10451
(212) 292-4666

Buffalo
Federal Bldg.
111 W. Huron St., Room 35. 14202
(716) 846-4001

Jamaica
90-04, 161st St., Room 200, 11432
(212) 526-6192

New York City
Jacob K. Javits
Federal Bldg., 26 Federal Plaza 10278
(212) 264-0422

**Syracuse**
U.S. Courthouse and Federal Bldg.
100 S. Clinton St. 13260
(315) 423-5660

**Puerto Rico**
San Juan
Carlos E. Chardon St.
Federico Degetau Federal Building
Hato Rey, PR 00918
(809) 753-4209, Ext. 209

**Region III**
Delaware
Wilmington
Federal Bldg., 844 King St.
Wilmington, DE 19801
(302) 573-6288

**District of Columbia Metro Area**
Office of Personnel Management, Room 1416
1900 E St., NW 20415
(202) 737-9616

**Maryland**
Baltimore
Garmatz Federal Bldg.
101 W. Lombard St. 21201
(301) 962-3822

D.C. Metro Area
Office of Personnel Management, Room 1416
1900 E. St., N.W. 20415
(202) 737-9616

**Pennsylvania**
Harrisburg
Federal Bldg., Room 168, 17108
(717) 782-4494

Philadelphia
William J. Green, Jr., Federal Bldg.
600 Arch St. 19106
(215) 597-7440

Pittsburgh
Federal Bldg., 1000 Liberty Ave. 15222
(412) 644-2755

**Virginia**
Norfolk
Federal Bldg., Rm. 220
200 Granby Mall 23510
(804) 441-3355

D.C. Metro Area
Office of Personnel Management, Room 1416
1900 E. St., N.W. 20415
(202) 737-9616

**West Virginia**
Charleston
Federal Bldg., 500 Quarrier St. 25301
(304) 343-6181, Ext. 226

**Region IV**
Alabama
Huntsville
Southerland Bldg
806 Governors Dr. S.W. 35801
(205) 453-5070

**Florida**
Orlando
80 North Hughey Ave. 32801
(305) 420-6148

**Georgia**
Atlanta
Richard B. Russell Federal Bldg.
75 Spring St., S.W. 30303

**Kentucky**
Louisville
Federal Bldg.
600 Federal Plaza 40202
(502) 582-5130

**Mississippi**
Jackson
100 W. Capitol St., (Suite 335) 39201
(601) 960-4586

**North Carolina**
Raleigh
Federal Bldg., 310 New Bern Ave
P.O. Box 25069, 27611
(919) 755-4361

**South Carolina**
Charleston
Federal Bldg., 334 Meeting St. 29403
(803) 724-4328

**Tennessee**
Memphis
Federal Bldg., 167 N. Main St., 38103
(901) 521-3956

**Region V**
Illinois
Chicago
(312) 353-5136
Dirksen Bldg., Room 1322
219 S. Dearborn St. 60604

**Indiana**

Indianapolis
46 E. Ohio St., Room 123, 46204
(317) 269-7161 or 7162

**Michigan**
Detroit
477 Michigan Ave., Room 595, 48226
(313) 226-6950

**Minnesota**
Twin Cities
Federal Bldg., Ft. Snelling 55111
(612) 725-3355

**Ohio**
Cleveland
Federal Bldg., 1240 E. 9th St. 44199
(216) 522-4232

Dayton
Federal Building Lobby
200 W. 2nd St. 45402
(513) 225-2720 and 2854

**Wisconsin**
Milwaukee
Plankinton Bldg., Room 205
161 W. Wisconsin Ave. 53203
(414) 244-3761

**Region VI**
Arkansas
Little Rock
Federal Bldg., Room 3421
700 W. Capitol Ave. 72201
(501) 378-5842

**Louisiana**
New Orleans
(504) 589-2764
F. Edward Hebert Bldg., Rm. 103
610 South St. 70130

**New Mexico**
Albuquerque
Federal Bldg., 421 Gold Ave. S.W. 87102
(505) 766-5538

**Oklahoma**
Oklahoma City
200 N.W. 5th St., Room 205 73102
(405) 231-4948

**Texas**
Dallas
Room 484, 1100 Commerce St. 75242
(214) 767-8035

El Paso
First National Bldg., Rm. 1406
109 N. Oregon ri Ave. 79903
(915) 543-7425

Houston
701 San Jacinto St. 4th floor 77002
(713) 226-5502

San Antonio
643 E. Durango Blvd. 78205
(512) 229-6600

**Region VII**
Iowa
Des Moines
In Scott and Pottawattamie counties dail
210 Walnut St., Room 191, 50309
(515) 284-4546

**Kansas**
Wichita:
One-Twenty Bldg., Room 101
120 S. Market St. 67202
(316) 269-6106

In Johnson, Leavenworth, Wyandotte and Counties dial
(816) 374-5702

**Missouri**
Kansas City
Federal Bldg., Room 134
601 E. 12th St. 64106
(816) 374-5702

St. Louis
Federal Bldg., Room 1712
1520 Market St. 63103
(314) 425-4285

**Nebraska**
Omaha
U.S. Courthouse and Post Office Bldg., Room 1010
215 N. 17th St. 68102
(402) 221-3815

**Region VIII**
Colorado
Denver
1845 Sherman Street 80203
(303) 837-3509

**Montana**
Helena
Federal Bldg., and Courthouse
301 S. Park, Rm. 153 59626
(406) 449-5388

**North Dakota**
Fargo
Federal Bldg., Room 202
657 Second Ave. N. 58102
(701) 237-5771, Ext. 363

**South Dakota**
Rapid City
Room 201, Federal Bldg., U.S. Courthouse
515 9th St. 57701
(605) 348-2221

**Utah**
Salt Lake City
1234 S. Main St., 2nd Floor, 84101
(801) 524-5744

**Wyoming**
Cheyenne
(307) 778-2220, Ext. 2108
P.O. Box 967 82001
2120 Capitol Ave., Room 3004

**Region IX**
Arizona
Phoenix
522 N. Central Ave. 85004
(602) 261-4736

**California**
Los Angeles
Linder Bldg., 845 S. Figueroa 90017
(213) 688-3360

Sacramento: The local number is
Federal bldg, 650 Capital Mall 95814
(916) 440-3441

San Diego
880 Front Street 92188
(714) 293-6165

San Francisco
Federal Bldg., Room 1001
450 Golden Avenue 94102
(415) 556-6667

**Guam**
Agana
238 O'Hara Street
Room 308 96910

**Hawaii**
Honolulu (and Island of Oahu)
(808) 546-7108
Federal Bldg., Room 1310
300 Ala Moana Blvd. 96850
344-5242

**Nevada**
Reno
Mill and S. Virginia Streets
P. O. Box 3296, 89505
(702) 784-5535

**Region X**
Alaska
Anchorage
Federal Building. and U.S. Courthouse
701 C St., P.O. Box 22, 99513
(907) 271-5821

**Oregon**
Portland
Federal Bldg., Lobby (North)
1220 SW Third St. 97204
(503) 221-3141

**Washington**
Seattle
Federal Bldg., 915 Second Ave. 98174
(206) 442-4365

## SMALL BUSINESS ADMINISTRATION

### REGIONAL OFFICES

**Region I**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
John F. Kennedy Federal Bldg., Room 2113
Boston, MA 02203
(617) 223-2100

**Region II**
(New Jersey, New York, Puerto Rico, Virgin Islands)
26 Federal Plaza, Room 3930
New York, NY 10007
(212) 460-0100

**Region III**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
1 Decker Square, East Lobby, Suite 400
Bala Cynwyd, PA 19004
(215) 597-3311

**Region IV**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
1401 Peachtree St. N.E., Room 441
Atlanta, GA 30309
(404) 526-0111

**Region V**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Federal Bldg.
219 South Dearborn St. Room 437
Chicago, IL 60604
(312) 353-4400

**Region VI**
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)
1100 Commerce St., Room 300
Dallas, TX 75202
(214) 749-5611

**Region VII**
(Iowa, Kansas, Missouri, Nebraska)
911 Walnut St., 24th Floor
Kansas City, MO 64106
(816) 374-7000

**Region VIII**
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)
721 19th St., Room 426A
Denver, CO 80202
(303) 837-0111

**Region IX**
(Arizona, California, Hawaii, Nevada, Pacific Islands)
Federal Bldg., 450 Golden Gate Ave.
San Francisco, CA 94102
(415) 556-9000

**Region X**
(Alaska, Idaho, Oregon, Washington)
710 2nd Ave., 5th Floor
Dexter Horton Bldg.
Seattle, WA 98104
(206) 442-0111

### DISTRICT OFFICES

**Region I**
1326 Appleton St.
Holyoke, MA 01040
(413) 536-8770

Federal Bldg.
40 Western Ave., Room 512
Augusta, ME 04330
(207) 622-6171

55 Pleasant St., Room 213
Concord, NH 03301
(603) 224-4041

Federal Bldg.
450 Main St., Room 710
Hartford, CT 06103
(203) 244-2000

Federal Bldg.
87 State St., Room 210
Montpelier, VT 05602
(802) 223-7472

57 Eddy St., Room 710
Providence, RI 02903
(401) 528-1000

**Region II**
225 Ponce de Leon Ave.
Hato Rey, PR 00919
(809) 765-0404

970 Broad St. Room 1635
Newark, NJ 07102
(201) 645-3000

Hunter Plaza
Fayette and Salina Sts., Room 308
Syracuse, NY 13202
(315) 473-3350

Chamber of Commerce Bldg.
55 St. Paul St.
Rochester, NY 14604
(716) 546-4900

**Region III**
109 North 3d St.
Room 301, Lowndes Bldg.
Clarksburg, WV 26301
(304) 624-3461

Federal Bldg.
1000 Liberty Ave., Room 1401
Pittsburgh, PA 15222
(412) 644-3311

Federal Bldg.
400 North 8th St., Room 3015
Richmond, VA 23240
(703) 782-2000

1310 L St., N.W., Room 720
Washington, DC 20417
(202) 382-3731

**Region IV**
908 South 20th St., Room 202
Birmingham, AL 35205
(205) 325-3011

222 South Church St.
Room 500, Addison Bldg.
Charlotte, NC 28202
(704) 372-0711

1801 Assembly St., Room 117
Columbia, SC 29201
(803) 765-5376

Petroleum Bldg., Suite 690
Pascagoula and Amite Sts.
Jackson, MS 39205
(601) 948-7821

Federal Bldg., 400 West Bay St., Room 261
Jacksonville, FL 32202
(904) 791-2011

Federal Bldg., 600 Federal Pl., Room 188
Louisville, KY 40202
(502) 582-5011

Federal Bldg.
51 Southwest 1st Ave., Room 912
Miami, FL 33130
(305) 350-5011

500 Union St., Room 301
Nashville, TN 37219
(615) 749-9300

502 South Gay St.
Room 307, Fidelity Bankers Bldg.
Knoxville, TN 37902
(615) 524-4011

**Region V**
502 East Monroe St.
Ridgely Bldg., Room 816
Springfield, IL 62701
(217) 525-4200

1240 East 9th St., Room 5524
Cleveland, OH 44199
(216) 522-3131

85 Marconi Blvd.
Columbus, OH 43215
(614) 469-6860

Federal Bldg., 550 Main St.
Cincinnati, OH 45202
(513) 684-2200

1249 Washington Blvd.
Room 1200, Book Bldg.
Detroit, MI 48226
(313) 226-6000

36 South Pennsylvania St.
Room 108, Century Bldg.
Indianapolis, IN 46204
(317) 633-7000

122 West Washington Ave., Room 713
Madison, WI 53703
(608) 256-4441

12 South 6th St., Plymouth Bldg.
Minneapolis, MN 55402
(612) 725-4242

**Region VI**
Federal Bldg. and Courthouse
500 Gold Ave., S.W.
Albuquerque, NM 87101
(505) 843-0311

808 Travis St., Room 1219
Niels Esperson Bldg.
Houston, TX 77002
(713) 226-4011

Post Office and Court House Bldg.
West Capital Ave., Room 377
Little Rock, AR 72201
(501) 378-5871

1205 Texas Ave.
Lubbock, TX 79408
(86) 747-3711

219 East Jackson St.
(Lower Rio Grande Valley)
Harlingen, TX 78550
(512) 423-8933

505 East Travis St.
Room 201, Travis Terrace Bldg.
Marshall, TX 75670
(214) 935-5257

Plaza Tower, 17th Floor
1001 Howard Ave.
New Orleans, LA 70113
(504) 527-2611

30 North Hudson St.
Room 501, Mercantile Bldg.
Oklahoma City, OK 73102
(405) 231-4011

301 Broadway, Room 300, Manion Bldg.
San Antonio, TX 78205
(512) 225-5511

**Region VII**
New Federal Bldg.
210 Walnut St., Room 749
Des Moines, IA 50309
(515) 284-4000

Federal Bldg.
215 North 17th St., Room 7419
Omaha, NE 68102
(402) 221-1221

Federal Bldg.
210 North 12th St., Room 520,
St. Louis, MO 63101
(314) 622-8100

120 South Market St., Room 301
Wichita, KS 67202
(316) 267-6311

**Region VIII**
Room 4001, Federal Bldg., 100 East B St.
Casper, WY 82601
(307) 265-5550

Federal Bldg.
653 2d Ave., North, Room 218
Fargo, ND 58102
(701) 237-5771

Power Block Bldg.
Corner Main and 6th Ave., Room 208
Helena, MT 59601
(46) 442-9040

Federal Bldg.
125 South State St., Room 2237
Salt Lake City, UT 84111
(801) 524-5500

National Bank Bldg.
8th and Maine Ave., Room 402
Sioux Falls, SD 57102
(605) 336-2980

**Region IX**
149 Bethel St., Room 402
Honolulu, HI 96813
(808) 546-8950

849 South Broadway
Los Angeles, CA 90014
(213) 688-2121

112 North Central Ave.
Phoenix, AZ 85004
(602) 261-3900

110 West C St.
San Diego, CA 92101
(714) 293-5000

**Region X**
1016 West 6th Ave., Suite 200
Anchorage Legal Center
Anchorage, AK 99501
(907) 272-5561

503 3d Ave.
Fairbanks, AK 99701
(907) 452-5561

216 North 8th St, Room 408
Boise, ID 83701
(208) 342-2711

921 Southwest Washington St.
Portland, OR 97205
(503) 221-2000

Courthouse Bldg., Room 651
Spokane, WA 99210
(509) 456-0111

# VETERANS ADMINISTRATION

## Department of Veterans Benefits

### FIELD OFFICES

The Veterans Administration provides toll-free telephone service throughout the 50 States. The appropriate number for a particular area can be found in the white pages of your local directory under United States Government, Veterans Administration, Benifits Information and Assistance.

**Alabama**
George B. Shellman, Jr.
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Asheville, NC 28805
(704) 298-7911

Burdeen F. Brown, Director
508 Fulton St.
Durham, NC 27705
(919) 286-0411

Bernath E. Phillips, Director
2300 Ramsey St.
Fayetteville, NC 28301
(919) 488-2120

Outpatient Clinic
251 North Main St., Federal Bldg.
Winston-Salem, NC 27102
(919) 671-3519

Thomas L. Ayres
1601 Brenner Avenue
Salisbury, NC 28144
(704) 636-2351

**North Dakota**
Francis E. Gathman, Director
655 First Ave.
Fargo, ND 58102
(701) 232-3241

**Ohio**
Garlond E. Evers, Director
Chillicothe, OH 45601
(614) 773-1141

10000 Buckville Rd.
Brecksville, OH 44141

Raymond C. Sullivan, Director
3200 Vine St.
Cincinnati, OH 45220
(513) 861-3100

William H. Bridges
Outpatient Clinic
456 Clinic Dr.
Columbus, OH 43210
(614) 469-5664

Richard S. Droske, Director
10701 East Blvd.
Cleveland, OH 44106
(216) 791-3800

Willard G. Hitchings, Director
Hospital and Domiciliary
Dayton, OH 45428
(513) 268-6511

**Oklahoma**
Fred F. Salas, Director
125 South Main Street
Muskogee, OK 74401
(918) 683-3261

Walter H. Whitcomb, Director
921 N.E. 13th St.
Oklahoma City, OK 73104
(405) 272-9876

**Oregon**
Joseph H. Ferry, Director
3710 SW, U.S. Veterans Hospital Rd.
Portland, OR 97207
(503) 222-9221

Outpatient Clinic
426 Southwest Stark St.
Portland, OR 97204
(503) 221-2431

T. Kay Miyamoto, Director
Roseburg, OR 97470
(503) 672-4411

Mary Ann Coffey, Director
Domiciliary
White City, OR 97501
(503) 424-3796

**Pennsylvania**
John J. Ruff, Director
Altoona, PA 16603
(814) 943-8164

David E. Simmons, Director
Butler, PA 16001
(412) 287-4781

James L. G. Parsons, II, Director
Coatsville, PA 19320
(215) 384-7711

Jack D. Graham, Director
135 East 38th Street
Erie, PA 16501
(814) 868-8661

Outpatient Clinic
228 Walnut St., Federal Bldg.
Harrisburg, PA 17108
(717) 590-4590

Harry V. Flussi, Director
Lebanon, PA 17042
(717 272-6621

Barry L. Bell, Director
University and Woodland Ave.
Philadelphia, PA 19104
(215) 382-2201

Outpatient Clinic
1421 Cherry St.
Philadelphia, PA 19102
(215) 597-7195

Carl Cossu, Director
Highland Dr.
Pittsburgh, PA 15206
(412) 363-4900

Thomas A. Gigliotti
University Dr.
Pittsburgh, PA 15240
(412) 683-3000

Outpatient Clinic
1000 Liberty Ave.
Pittsburgh, PA 15222
(412) 281-4233

Michael A. Parrell, Director
1111 East End Blvd.
Wilkes-Barre, PA 18711
(717) 824-3521

**Puerto Rico**
James G. Martin, Jr., Director
Barrio Monacillos
Rio Piedras, PR 00921
(809) 843-5151

Outpatient Clinic
Calle Isabel No. 60
Ponce, PR 00731
(809) 764-4545

Outpatient Clinic
Road No. 2
Mayaguez, PR 00708

**Rhode Island**
Donald E. Burnette, Director
Davis Park
Providence, RI 02908
(401) 273-7100

**South Carolina**
J. Fred Hoefer, Jr., Director
109 Bee St.
Charleston, SC 29403
(803) 577-5011

Joan S. Kershner, Director
1801 Assembly Street
Columbia, SC 29201
(803) 677-6011

Outpatient Clinic
37 Villa Rd.
Greenville, SC 29607
(803) 232-7303

**South Dakota**
Robert E. Lee, D.P.M., Director
Fort Meade, SD 57741
(605) 347-2511

Thomas F. Wheaton, Director
Hospital and Domiciliary
Hot Springs, SD 57747
(605) 745-4101

Dexter D. Dix, Director
2501 West 22nd St.
Sioux Falls, SD 57101
(605) 336-3230

**Tennessee**
Outpatient Clinic Bldg.
6200 Eastgate Center
Chattanooga, TN 37411
(615) 756-4250

Herbert S. Arnett, Director
1030 Jefferson Ave.
Memphis TN 38104
(901) 523-8990

Joseph C. Snelling, Director
Hospital and Domiciliary, Mountain Home
Johnson City, TN 37684
(615) 926-1171

Outpatient Clinic
9047 Executive Dr. Suite #100
Knoxville, TN 37919
(615) 637-9300

Robert S. Pepiot, Director
Murfreesboro, TN 37130
(615) 893-1360

Larry E. Deters, Director
1310 24th Ave., South
Nashville, TN 37203
(615) 327-4751

**Texas**
Paul G. Grogan, Director
6010 Amarillo Blvd. West
Amarillo, TX 79106
(86) 355-9703

John H. Steward
Big Spring, TX 79720
(915) 263-7361

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1502 S. Brownlee Blvd.
Corpus Cristi, TX 78404
(214) 296-4087

C. Wayne Hawkins, Director
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Dallas, TX 75216
(214) 376-5451

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5919 Brook Hollow Drive
El Paso, TX 79925
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(512) 696-9660

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(817) 778-4811

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Memorial Dr.
Waco, TX 76703
(817) 752-6581

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Waco, TX 76710
(817) 756-6511

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Salt Lake City, UT 84148
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(206) 582-8440

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4435 Beacon Ave.
Seattle, WA 98108
(206) 762-1010

Edwin J. Mack, Director
North 4815 Assembly St.
Spokane, WA 99208
(509) 328-4521

Ralph Wiseman, Jr., Director
77 Wainwright Dr.
Walla Walla, WA 99362
(509) 525-5200

**West Virginia**
Domenic R. Pisegna, Director
200 Veterans Ave.
Beckley, WV 25801
(304) 253-8383

David (Jack) Kilcoyne, Director
Clarksburg, WV 26301
(304) 923-3411

A. Paul Kidd, Director
1540 Spring Valley Dr.
Huntington, WV 25701
(304) 429-1381

I. V. Billes, Director
Hospital and Domiciliary
Martinsburg, WV25401
(304) 263-0811

Outpatient Clinic
11th and Chapline Sts.,
Wheeling, WV 26003
(304) 232-7444

**Wisconsin**
Thomas J. Stranova, Director
2500 Overlook Terrace
Madison, WI 53705
(608) 256-1901

Francis G. Klunk, Director
Tomah, WI 54660
(608) 372-3971

Leon E. Edman, Director
Hospital and Domiciliary
5000 West National Ave.
Wood, WI 53193
(414) 384-2000

**Wyoming**
John D. Gravelley, Director
2360 East Pershing Blvd.,
Cheyenne, WY 82001
(307) 778-7550

F. Jack Smith, Director
Sheridan, WY 82801
(307) 672-3473

## Department of Memorial Affairs

### AREA OFFICES

**California**
National Cemetery Area Office
James M. Griffin
211 Main Street, Room 1704
San Francisco, CA 94105
(415) 556-1903 (Use same 7-digit number for FTS)

**Georgia**
National Cemetery Area Office
Arthur S. Hamerschlag
730 Peachtree St. N.E.
Atlanta, GA 30308
(404) 881-2121
FTS 257-2121

**Pennsylvania**
National Cemetery Area Office
Nicholas G. Hamaty
Veterans Administration
Independence Bldg., South
434 Walnut Street
Philadelphia, PA 19106
(215) 922-5421
FTS 597-8112

# Appendix V: Sources of Additional Information Contacts

Additional information concerning Federal programs and services is available from the sources listed below. The information in this Appendix is in addition to that supplied in Appendix IV (Regional and Local Office addresses), but are not the offices to which an applicant applies for an assistance program. If a potential applicant or information seeker is not certain which agency to contact, there are three types of organizations ready to help: The Federal Information Centers, the Federal Regional Councils, and the Federal Executive Boards.

## FEDERAL INFORMATION CENTERS

Federal Information Centers (FIC) are a focal point for information about the Federal Government. Centers assist people who have questions about Federal services, programs, and regulations, but do not know where to turn for an answer. FIC information specialists either answer an inquirer's questions directly, or perform the necessary research to locate and refer the inquirer to the expert best able to help. There are currently 40 cities with an FIC and an additional 43 cities connected to the nearest Center by telephone tieline. Statewide toll-free '800' service is available to the residents of five States: Florida, Iowa, Kansas, Missouri, and Nebraska. The FIC addresses and telephone numbers are listed below.

**Alabama**
Birmingham 322-8591 Toll-free tieline to Atlanta, GA
Mobile
438-1421 Toll-free tieline to New Orleans, LA

**Alaska**
Federal Building and U.S. Courthouse
701 C Street
Anchorage, AK 99513
(907) 271-3650

**Arizona**
Federal Building
230 North 1st Ave.
Phoenix, AZ 85025
(602) 261-3313
Tucson
622-1511 Toll-free tieline to Phoenix

**Arkansas**
Little Rock
378-6177 Toll-free tieline to Memphis, TN

**California**
Federal Building
300 North Los Angeles St.
Los Angeles, CA 90012
(213) 688-3800
Federal Building and U.S. Courthouse
650 Capitol Mall
Sacramento CA 95814
(916) 440-3344
Federal Building
880 Front St.
Room 1S11
San Diego, CA 92188
(714) 293-6030
Federal Building and U.S. Courthouse
450 Golden Gate Ave.
P.O. Box 36082
San Francisco, CA 94102
(415) 556-6600
TTY (415) 556-3323
San Jose
275-7422 Toll-free tieline to San Francisco
Santa Ana
836-2386 Toll-free tieline to Los Angeles

**Colorado**
Colorado Springs
471-9491 Toll-free tieline to Denver
Federal Building
1961 Stout St.
Denver, CO 80294
(303) 837-3602
Pueblo
544-9523 Toll-free tieline to Denver

**Connecticut**
Hartford
527-2617 Toll-free tieline to New York, NY
New Haven
624-4720 Toll-free tieline to New York, NY

**Florida**
Fort Lauderdale
522-8531 Toll-free tieline to Miami
Jacksonville
354-4756 Toll-free tieline to St. Petersburg
Federal Bldg.
51 Southwest 1st Ave.
Miami, FL 33130
(305) 350-4155
Orlando
422-1800 Toll-free tieline to St. Petersburg
William C. Cramer
Federal Building
144 1st Ave., South
St. Petersburg, FL 33701
(813) 893-3495
Tampa
229-7911 Toll-free tieline to St. Petersburg
West Palm Beach
833-7566 Toll-free tieline to Miami
Northern Florida
(Sarasota, Manatee, Polk, Osceola, Orange, Seminole, and Volusia counties and north)
(800) 282-8556 Toll-free line to St. Petersburg
Southern Florida
(Charlotte, De Sota, Hardee, Highlands, Okeechobee, Indian River, and Brevard counties and south)
(800) 432-6668 Toll-free line to Miami

**Georgia**
Federal Building and U.S. Courthouse
75 Spring St. S.W.
Atlanta, GA 30303
(404) 221-6891

**Hawaii**
P.O. Box 50091
Federal Building
300 Ala Moana Blvd.
Honolulu, HI 96850
(808) 546-8620

**Illinois**
Everett McKinley Dirksen Bldg.
Room 250
219 South Dearborn St.
Chicago, IL 60604
(312) 353-4242

**Indiana**
Gary/Hammond
883-4110 Toll-free tieline to Indianapolis
Federal Building

575 North Pennsylvania St.
Indianapolis, IN 46204
(317) 269-7373

**Iowa**
Federal Building
210 Walnut Street
Des Moines, IA 50309
(515) 284-4448
Other Iowa Locations:
(800) 532-1556 Toll-free to Des Moines

**Kansas**
Federal Building and U.S. Courthouse
444 S.E. Quincy
Topeka, KS 66683
(913) 295-2866
Other Kansas Locations:
(800) 432-2934 Toll-free line to Topeka

**Kentucky**
Federal Building
600 Federal Place
Louisville, KY 40202
(502) 582-6261

**Louisiana**
U.S. Custom House
423 Canal Street
Room 100
New Orleans, LA 70130
(504) 589-6696

**Maryland**
Federal Building
31 Hopkins Plaza
Baltimore, MD 21201
(301) 962-4980

**Massachusetts**
John F. Kennedy Federal Bldg.
Cambridge St.
Room E-121
Boston, MA 02203
(617) 223-7121

**Michigan**
McNamara Federal Bldg.
477 Michigan Ave.
Room 103
Detroit, MI 48226
(313) 226-7016
Grand Rapids
451-2628 Toll-free tieline to Detroit

**Minnesota**
Federal Building and U.S. Courthouse
110 South 4th St.
Minneapolis, MN 55401
(612) 349-5333

**Missouri**
Federal Building
601 East 12th St.
Kansas City, MO 64106
(816) 374-2466
Federal Building
1520 Market St.
St. Louis, MO 63103
(314) 425-4106
Other Missouri Locations: within area code 314:
(800) 392-7711 Toll-free tieline to St. Louis
Other Missouri locations within area codes 816 and 417:
(800) 892-5808 Toll-free tieline to Kansas City

**Nebraska**
U.S. Post Office and Courthouse
215 North 17th St.
Omaha, NE 68102
(402) 221-3353
Other Nebraska Locations:
(800) 642-8383 Toll-free tieline to Omaha

**New Jersey**
Federal Building
970 Broad St.
Newark, NJ 07102
(201) 645-3600
Paterson/Passaic
532-0717 Toll-free tieline to Newark
Trenton
396-4400 Toll-free tieline to Newark

**New Mexico**
Federal Building and U.S. Courthouse
500 Gold Ave., S.W.
Albuquerque, NM 87102
(505) 766-3091
Santa Fe
983-7743 Toll-free tieline to Albuquerque

**New York**
Albany
463-4421 Toll-free tieline to New York City
Federal Bldg.
111 West Huron St.
Buffalo, NY 14202
(716) 846-4010
Federal Bldg.
26 Federal Plaza
Room 1-114
New York, NY 10278
(212) 264-4464
Rochester
546-5075 Toll-free tieline to Buffalo
Syracuse
476-8545 Toll-free tieline to Buffalo

**North Carolina**
Charlotte
376-3600 Toll-free tieline to Atlanta, GA

**Ohio**
Akron
375-5638 Toll-free tieline to Cleveland
Federal Bldg.
550 Main St.
Cincinnati, OH 45202
(513) 684-2801
Federal Building
1240 East Ninth St.
Cleveland, OH 44199
(216) 522-4040
Columbus
221-1014 Toll-free tieline to Cincinnati
Dayton
223-7377 Toll-free tieline to Cincinnati
Toledo
241-3223 Toll-free tieline to Cleveland

**Oklahoma**
U.S. Post Office and Courthouse
201 Northwest 3rd St.
Oklahoma City, OK 73102
(405) 231-4868
Tulsa

584-4193 Toll-free tieline to Oklahoma City

**Oregon**
Federal Building
1220 Southwest 3rd Ave.
Room 109
Portland, OR 97204
(503) 221-2222

**Pennsylvania**
Allentown/Bethlehem
821-7785 Toll-free tieline to Philadelphia
Federal Building
600 Arch St.
Philadelphia, PA 19106
(215) 597-7042
Federal Building
1000 Liberty Ave.
Pittsburgh, PA 15222
(412) 644-3456
Scranton
346-7081 Toll-free tieline to Philadelphia

**Rhode Island**
Providence
331-5565 Toll-free tieline to Boston, MA

**Tennessee**
Chattanooga
265-8231 Toll-free tieline to Memphis, TN
Clifford Davis Federal Building
167 North Main St.
Memphis, TN 38103
(901) 521-3285
Nashville
242-5056 Toll-free tieline to Memphis

**Texas**
Austin
472-5494 Toll-free tieline to Houston
Dallas
767-8585 Toll-free tieline to Fort Worth
Lanham Federal Bldg.
819 Taylor St.
Fort Worth, TX 76102
(817) 334-3624
Federal Bldg. and U.S. Courthouse
515 Rusk Ave.
Houston, TX 77002
(713) 226-5711
San Antonio
224-4471 Toll-free tieline to Houston

**Utah**
Ogden
399-1347
Toll-free tieline to Salt Lake City
Federal Building
125 South State St.
Room 1205
Salt Lake City, UT 84138
(801) 524-5353

**Virginia**
Newport News
Toll-free tieline to Norfolk
(804) 244-0480
Federal Building
200 Granby Mall
Room 120
Norfolk, VA 23510
(804) 441-3101
Richmond
643-4928
Toll-free tieline to Norfolk
Roanoke
982-8591
Toll-free tieline to Norfolk

**Washington**
Federal Building
915 Second Ave.
Seattle, WA 98174
(206) 442-0570
Tacoma
383-5230
Toll-free tieline to Seattle

**Wisconsin**
Milwaukee
271-2273
Toll-free tieline to Chicago, IL

## FEDERAL REGIONAL COUNCILS

The Federal Regional Councils, or FRC's, consist of the principal regional officials of the Departments of Agriculture; Commerce; Energy; Health and Human Services; Housing and Urban Development; Interior; Labor; Transportation; and Environmental Protection Agency. One of the functions of the Councils is to coordinate the operations of the larger assistance programs.

The Federal Regional Councils can answer many questions concerning assistance programs, but they best serve the needs of larger organizations and units of State and local governments. (Individuals should contact the Federal Information Centers.) Each Council has an office and permanent staff. The addresses and telephone numbers are listed below.

**Region 1**
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)
Federal Regional Council of New England
E-431 John F. Kennedy Federal Bldg.
Boston, MA 02203
(617) 223-5421

**Region 2**
(New Jersey, New York, Puerto Rico, Virgin Islands)
Region 2 Federal Regional Council
26 Federal Plaza, Rm. 3543-A
New York, NY 10007
(212) 264-2525

**Region 3**
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)
Mid-Atlantic Federal Regional Council
Curtis Bldg., 6th and Walnut Sts.
Philadelphia, PA 19106
(215) 597-2540

**Region 4**
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)
Southeastern Federal Regional Council
101 Marietta Tower
Atlanta, GA 30323
(404) 224-2442

**Region 5**
(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)
Region 5 Federal Regional Council
230 South Dearborn St.
Chicago, IL 60604
(312) 353-8184

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# 1982 CATALOG OF FEDERAL DOMESTIC ASSISTANCE

Descriptions of Federal Government's domestic programs to assist Americans in furthering their social and economic progress.

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- Explains nature and purpose of programs.
- Specifies who is eligible to apply and who benefits.
- Tells what kinds of credentials/documentation you may need to obtain assistance.
- Lists application and award process, including deadlines.
- Provides financial information for three fiscal years.
- Lists available printed materials.
- Shows closely related programs.

**Compiled and edited for the Executive Office of the President by the Office of Management and Budget.**

**$30.00** for looseleaf text material and changes as issued for the **1982** edition.

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